



# SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

(Established under section 3 of the UGC Act, 1956)

Re-accredited by NAAC with 'A++' Grade | Awarded Category - I by UGC

Founder: Prof. Dr. S. B. Mujumdar, M. Sc., Ph. D. (Awarded Padma Bhushan and Padma Shri by President of India)

**Notification No. SIU/U-28/1302 dated 12<sup>th</sup> July, 2023**

Ref: Notification No.SIU/U-28/ 1194 dated 13<sup>th</sup> July, 2022.

**Subject: Symbiosis International (Deemed University) [Doctor of Philosophy (Ph.D.) Programme] Rules, 2023**

**WHEREAS**, the University had notified the Symbiosis International (Deemed University) [Doctor of Philosophy (Ph.D.) Programme] Rules, 2022 vide Notification No.SIU/U-28/ 1194 dated 13<sup>th</sup> July, 2022.

**2] AND WHEREAS**, the University Grants Commission vide notification no. F. No. 1-3/2021(QIP) dated 7<sup>th</sup> November, 2022 has notified UGC (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022.

**3] NOW THEREFORE**, in exercise of the powers conferred by clause 13(e) of the UGC (Institutions Deemed to be University's) Regulations, 2023 and in supersession of the Symbiosis International (Deemed University) [Doctor of Philosophy (Ph.D.) Programme] Rules, 2022, and to give effect to the above said regulations the Symbiosis International (Deemed University) makes the [Doctor of Philosophy (Ph.D.) Programme] Rules, 2023. These rules shall come in force from the date of issuance of this notification.

The copy of said rules is attached as Annexure A.

Authority: Resolution No. A21 BoM:13.06.2023

SIU/U-28/2023/  
Dated: 12<sup>th</sup> July, 2023

  
Dr. M. S. Shejul  
Registrar

**Copy for information to:** The Hon'ble Chancellor, Pro Chancellor, Vice Chancellor, Provost-FoMHS, Principal Director- Symbiosis, Dean-Academics and Administration, Deans of Faculties, Directors/ Heads, Deputy Directors/ Deputy Heads, Administrative Officers/ Assistant Administrative Officers/ Office Superintendents of Constituents/ Research Centres/ Support Departments/ Skills and Continuing Education Departments and Officers of the Symbiosis Society and Symbiosis International (Deemed University)



**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**

**[Doctor of Philosophy (Ph.D.) Programme], Rules, 2023**

In exercise of the powers conferred by clause 13(e) of the UGC (Institutions Deemed to be University's) Regulations, 2023 and in supersession of the Symbiosis International (Deemed University) [Doctor of Philosophy (Ph.D.) Programme] Rules, 2022, and as the UGC has notified the UGC (Minimum Standards and Procedures for Award of Ph.D. Degree) Regulations, 2022, to give effect to these regulations the Symbiosis International (Deemed University) makes the following [Doctor of Philosophy (Ph.D.) Programme] Rules, 2023.

**1] Short Title, Commencement and Jurisdiction & Ph.D. Programmes**

- **Short Title:** These Rules may be called the Symbiosis International (Deemed University) [Doctor of Philosophy (Ph.D.) Programme], Rules, 2023.
- **Commencement:** These rules shall come into force with effect from the date of notification and shall be applicable for students enrolling from the Academic Year 2023-24. The preceding rules published from time to time in this regard shall remain effective for the corresponding batches who have registered during the period of publication of those Rules.
- **Jurisdiction:** Any disputes arising out of these rules shall be limited to the jurisdiction of Pune courts only.
- **Ph.D. Programmes:** Symbiosis International (Deemed University) [SIU] offers research programmes leading to the award of the degree of Doctor of Philosophy (Ph.D.) in following Faculties, viz.:
  - i) Law
  - ii) Management
  - iii) Computer Studies
  - iv) Medical and Health Sciences
  - v) Media and Communication
  - vi) Humanities and Social Sciences
  - vii) Engineering

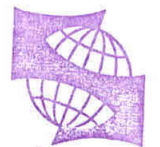
**2] Categories of Ph.D. Candidates**

Candidates admitted to the Ph.D. Programmes at SIU are categorized as follows:

**A) Full-time**

Full-time research students are those who will be able to commit themselves full-time to carry out their research on the campus. Full-time research students may (if selected) receive a scholarship from the SIU Research Grant/ UGC/ CSIR/ DBT/ any other sponsoring institute/agency to cover expenditure on research and living expenses. Full-time students may also be non-stipendiary, sustaining on their own and carrying out research full-time on the campus.

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## B) Part-time

### B.1 Part-time – Internal

Part-time internal candidates are those who are employed full-time at SIU and are permitted to pursue their research leading to Ph.D.

### B. 2 Part-time – External

#### • Working with SIU's Centres for Research Collaboration (CRCs):

SIU collaborates with other research-oriented organizations/institutes with an aim to create new evidence-based knowledge and builds mutual cooperation by exploiting knowledge, expertise and resources of each other. The Institutes which fulfil the following criteria will be eligible for being considered as Centres for Research Collaboration (CRCs) of SIU:

- a) The research centres/ laboratories/ institutes engaged in research should have minimum five years standing.
- b) The centre must have adequate resources in the relevant area of research in the form of
  - Sufficient number of classrooms, seminar rooms,
  - Labs, computer labs etc. Library resources
  - Minimum one staff researcher eligible to be recognized as Ph.D. Co-Supervisor as per SIU norms.

The scientists/researchers, who are working in the Centres for Research Collaboration (CRCs) of SIU and have been selected for SIU's Ph.D. Programme after the due admission process as per UGC norms are the part-time external candidates working with SIU's CRC. They will conduct Doctoral research under the supervision of the recognized Supervisor of SIU and under the co-supervision of the Researchers/Scientists, who are employees of CRC and have been recognized by SIU as Co-Supervisors. The students will be required to register with the University, complete the mandatory credit requirements as laid down for the Ph.D. course work and will then be permitted to continue their research work at SIU's Centres for Research Collaboration. These Ph.D. students will have to follow the Ph.D. rules of the University in letter and spirit.

#### • For candidate working with other organizations:

Candidates, who hold a full-time job in educational institutes / industry / research organizations, may be permitted to pursue their Ph.D. with SIU. These students will pursue their research under the supervision of SIU's Ph.D. Supervisor and complete the mandatory credit requirements as laid down for the Ph.D. course work. They will meet the University's requirements for monitoring the progress of their research work. They will follow all the rules and processes of Ph.D. programme in letter and spirit.

- **For candidates working in Central / State government research institutions:**

For Ph.D. scholars working in central government/ state government research institutions whose degrees are given by the University, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors provided they fulfill the criteria laid down for recognition of supervisors.

Further, the employer must expressly undertake to relieve the candidate to enable him/her to complete the Course Work. Such candidates must submit a No Objection Certificate from their organization (Appendix B.2 (ii))

**3] Eligibility Criteria: The following are eligibility criteria to seek admission to the Ph.D. programme:**

**3.1 Candidates who have completed:**

1. A 1-year/2-semester master's degree programme after completion of 4-year/8-semester bachelor's degree programme or a 2-year/4-semester master's degree programme after completion of a 3-year bachelor's degree programme or qualifications declared equivalent to the master's degree by the corresponding statutory regulatory body, with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed.

OR

equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of the educational institution.

A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/Differently-Abled, categories of candidates

Provided that a candidate seeking admission after a 4-year/8-semester bachelor's degree programme should have a minimum of 75% marks in aggregate or its equivalent grade on a point scale wherever the grading system is followed. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/Differently-Abled categories of candidates

- 3.2 Candidates who have completed the M.Phil. programme with at least 55% marks in aggregate or its equivalent grade in a point scale wherever grading system is followed or equivalent qualification from a foreign educational institution accredited by an assessment and accreditation agency which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country to assess, accredit or assure quality and standards of educational institutions, shall be eligible

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for admission to the Ph.D. programme. A relaxation of 5% marks or its equivalent grade may be allowed for those belonging to SC/ST/Different Abled categories of candidates.

**Note**

- i) International candidates (NRIs, Foreign Nationals and PIOs who have obtained Master's degree from foreign universities) are required to qualify IELTS with 6.5 score or IELA Test (Band 3) of SIUELTIS, an equivalent test for English language proficiency.
- ii) SIU offers practice-based Ph.D. programme under the Faculty of Media and Communication

**3.3 Reservation** Within the available vacancies:

- a) Scheduled Castes - 15%
- b) Scheduled Tribes – 7.5%
- c) Differently Abled - 3%

The admissions to following categories shall be over and above the available vacancies

- d) Kashmiri Migrants - 2 Seats
- e) International Students – 15%

**4] Admission Procedure:**

- 4.1** The details regarding the entrance test and the number of vacancies in each faculty shall be notified by the University in the month of April/May. The entrance test for admission to Ph.D. Programme shall be conducted by the University once in an academic year, on any Saturday/Sunday in the month of June.
- 4.2** The Candidate shall apply online for admission to Ph.D. Programme on the University's website as per the admission notification.
- 4.3** The candidate shall also upload the 'Proposed Research Idea' along with the application. The 'Proposed Research Idea' shall detail the proposed research area and the plan of action in the format given in (Appendix 4.3)
- 4.4** Candidates eligible and interested in availing the SIU Junior Research Fellowship (JRF) shall mark the specified section of the admission form.
- 4.5** Admission to Ph.D. shall be a two stage Process: 1) Ph.D. Entrance Test (PET) and 2) A Personal Interview (PI).
- 4.6** The syllabus of the Entrance Test (PET) shall consist of 50% of the content related to Research Methodology and 50% shall be subject-specific.
- 4.7** The entrance test for the Ph.D. Programme shall be multiple choice questions for 100 marks (50 marks for each part) and for the maximum duration of two hours.



- 4.8 For the applicants from overseas, a time-bound online proctored entrance test can be arranged subject to its feasibility in the host country. The interview can be held online with the help of video call services like Skype subject to its feasibility in the host country.
- 4.9 If Ph.D. aspirants from overseas wish to work outside India, the organization/institution, where they aspire to work should be SIU's CRC through a formal MoU. The place must fulfil all the requirements of a CRC.
- 4.10 All rules, which are applicable to the Ph.D. Students from CRC are also applicable to the Ph.D. students from the CRCs outside India.

**Table 1 Distribution of marks assigned to the topics of Ph.D. Entrance Test (PET) of SIU**

Part	Section	Marks
I	Research Methodology	50
II	Subject-Specific	50
	<b>Total</b>	<b>100</b>

- 4.11 The Entrance Test shall be conducted at the Centre(s) notified in advance.
- 4.12 The candidate needs to score 50% marks in the entrance test for qualifying to the next step of the admission process. A relaxation of 5 % of marks (from 50% to 45%) may be allowed for the candidates belonging to SC/ST/Differently-abled category in the entrance examination conducted by the University.
- 4.13 Exemption from Entrance Examination: Candidates who have cleared NET/ SET/ SLET/ GATE/ JRF/ M.Phil. in the relevant discipline or are UGC/ CSIR / ICMR DBT\*/ RGNF\*/ MANF\*/ DST Inspire\* & NBHM\* Fellows shall be exempted from the Entrance examination during the period of the validity of the concerned test. However, they will be required to appear for the Personal Interview.
- DBT - Department of Biotechnology
  - RGNF - Rajiv Gandhi National Fellowship
  - MANF - Maulana Azad National Fellowship
  - DST - Inspire - Department of Science & Technology
  - NBHM - National Board for Higher Mathematics
- 4.14 The eligible and qualified candidates shall be short-listed on the basis of merit and number of vacancies available in a Faculty for personal interview by the Research Committee of the Faculty.
- 4.15 A list of candidates, qualifying the Entrance test or exempted, as per the rules shall be uploaded on the University website.

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- 4.16** In personal interview, the shortlisted candidates are required to discuss their research interest/area through a presentation before a duly constituted Research Committee of the Faculty.
- 4.17** The personal Interviews of all shortlisted candidates will be conducted by the Research Committee of each Faculty which shall have the following members:
- Dean of the Faculty or their nominee not below the rank of the Professor– Chairperson
  - One representative of Research and Recognition Committee (RRC) of the relevant Faculty -Member
  - Two external Experts– Members
  - Head, Research Programmes or Nominee – Secretary
- 4.18** These committees shall be proposed by the Dean of the Faculty for the approval of the Vice Chancellor.
- 4.19** The final selection of the candidate for Ph.D. Programme will depend on their research competence, suitability of work to the University’s research areas and the extent to which this Doctoral research will be able to contribute to the existing knowledge.
- 4.20** The final merit list for admission for the Ph D programme in a particular faculty shall be declared on the basis of:
- a) Performance in Ph. D. Entrance examination: 70 % weightage. (For the candidates exempted from Ph. D. Entrance examination- the academic achievements of candidates at graduate, post graduate, NET/SET/GATE/M. Phil/Other fellowships level shall be counted for 70 % in lieu of entrance examination score)
  - b) Individual Performance in personal interaction: 30 % weightage. The individual performance of the candidate shall be assessed in personal interaction based on proposed research idea and their performance during interaction. Candidates exempted from Entrance test will be required to appear for personal interaction.
  - c) The final list for admission to Ph D programme in a particular faculty/ sub-stream for all candidates including those exempted from Entrance Examination will be drawn on the basis of 4.20a and 4.20b.
  - d) Admission to the Ph D programme shall be subject to availability of the Approved Research Supervisor in the relevant field.
- 4.21** As per clause 4.20, on the basis of merit, candidates shall be provisionally admitted to the Ph.D. Programme. The final merit list for Ph.D. Admissions shall be declared on the website of the University.
- 4.22** The Research Committee of the Faculty shall recommend the provisionally admitted candidates for SIU Junior Research Fellowship (SIU JRF), as per the criteria laid down by the University.
- 4.23** The recommendations of the Research Committee of the Faculty regarding award of SIU Junior Research Fellowship (SIU JRF) shall be approved by the Vice Chancellor.



- 4.24 After submission and verification of all eligibility documents and payment of the prescribed fee by the due date, the provisional admission would be officially conveyed to the candidate by Symbiosis Centre for Research and Innovation (SCRI).
- 4.25 Provisionally admitted candidates would be required to identify and consult Research Supervisors from the list of supervisors available at SIU's website with vacancies in respective areas. Candidates are advised to contact the Supervisor on their official email address. After discussion and mutual agreement, the candidate would be required to submit a letter of consent signed by the Research Supervisor to the University Appendix 4.25
- 4.26 If necessary, based on a written request from the Research Supervisor (Appendix 6.8), a Co-supervisor may be appointed by the Dean of the Faculty, with approval from the members of the RRC of the Faculty. The Co-supervisor may be from within the same Faculty or from a different Faculty of the University or from outside the University provided they are recognized by the RRC of the Faculty after following the due process (see clause 6.5 – 6.10).
- 4.27 After the Ph.D. Supervisor has formally consented to supervise the doctoral student, all communication about the work/progress/issues related to the student should be routed through the Supervisor.

## 5] Duration of Programme

- 5.1 Ph.D. Programme shall be for a minimum duration of three (3) years, including course work, and a maximum duration of six (6) years from the date of admission to the Ph.D. programme. A maximum of an additional two (2) years shall be granted by the Vice Chancellor; However, the total period for completion of a Ph.D. programme shall not exceed eight (8) years from the date of admission in the Ph.D. programme.
- 5.2 Female Ph.D. scholars and Persons with Disabilities (having more than 40% disability) will be allowed an additional relaxation of two (2) years with prior approval of Vice Chancellor. However, the total period for completion of a Ph.D. programme in such cases should not exceed ten (10) years from the date of admission in the Ph.D. programme.
- 5.3 In addition, women candidates may be provided Maternity Leave/ Child Care Leave once in the entire duration of Ph.D. for up to 240 days.

**Table 2 summarizes the duration of the Ph.D. Programme for the students of different categories:**

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**Table 2 Operating guidelines of the Ph.D. Programme for the full-time and part-time Ph.D. Students**

Milestone	Full Time Ph.D. Student	Part Time Ph.D. Student
Course Work	1 Semester	1 Semester
Submission of Research Proposal	3 months after the coursework	6 months after the coursework
Extension to submission of Research Proposal	3 months	6 months
Minimum Duration  Provided there are exemplary, publications done based on the work so far.	2 years from the date of confirmed registration (Approval given to the Research Proposal after presentation to Research Advisory Committee) provided the total duration of 3 years after provisional admission is completed.	2 years from the date of confirmed registration (Approval given to the Research Proposal after presentation to Research Advisory Committee) provided the total duration of 3 years after provisional admission is completed.
Maximum Duration	4 Years from the date of confirmation of registration + 1-year extension by the Research and Recognition Committee of the Faculty based on the quality of work + 1-year extension by the Vice Chancellor only in exceptional situations  In an extra-ordinary situation an extension beyond 6 years be considered by Hon VC with a proviso that total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.	5 Years from the date of confirmation of registration + 1-year extension by the Research and Recognition Committee of the Faculty based on the quality of work + 1-year extension by the Vice Chancellor only in exceptional situations  In an extra-ordinary situation an extension beyond 7 years be considered by Hon VC with a proviso that total period for completion of a Ph.D. programme should not exceed eight (8) years from the date of admission in the Ph.D. programme.

## 6] Research Supervisor

6.1 To be an approved as a Research Supervisor at SIU, the following conditions shall be fulfilled(Appendix 6.1)

They shall be a regular faculty of Symbiosis International (Deemed University) holding a Ph.D. degree, and below the age of 65 years. The Ph. D. supervisor shall be permitted to supervise students till the age of 65 years. In cases, where the Supervisor has less than three years to retire, a Co- supervisor shall be mandatory.

6.2 Any regular Professor/ Associate Professor of the University with at least five research publications in refereed journals and any regular Assistant Professor of the University with a Ph.D. degree and at least three research publications in refereed journals may be recognized as Research Supervisor by following due procedure of the University. To meet the criterion of publications, at least two publications shall be from the SIU's designated list of journals.

6.3 The following is the maximum number of Research Students that can be registered with one Research Supervisor for Ph.D.

Professor- 8, Associate Professor- 6, Assistant Professor- 4. Additionally, two international students can be enrolled on supernumerary basis.

6.4 No relative of a candidate (such as wife, husband, son, daughter, sister, brother or such other person—people, who are deemed to be close relations) shall be appointed as Research Supervisor/Co-supervisor for that candidate.

6.5 In cases, where the Supervisor has less than three years to retire, a Co-supervisor shall be mandatory.

6.6 Academics other than the eligible Regular Faculty of SIU are not permitted to serve as Ph.D. Supervisors. However, a Co-Supervisor can be allowed in inter-disciplinary areas from other departments of the University with the approval of the Research Recognition Committee (RRC) of the concerned Faculty.

6.7 In case of research topics which are of interdisciplinary nature, where the Dean of the Faculty concerned feels that the expertise in the Faculty has to be supplemented from outside, he/she may appoint a Research Supervisor from the Faculty itself, who shall be known as the Research Supervisor, and a Co-Supervisor from outside the Faculty/University on such terms and conditions as may be specified and agreed upon by the consenting Institutions/ Universities.

6.8 The procedure for inclusion of a Co-supervisor and the application is given in (Appendix 6.8).

6.9 SIU collaborates with reputed educational Institutions and Research Organizations, which are referred to as the Centres for Research Collaboration (CRC). The candidates working in such Institutions can take admission to SIU's Ph.D. Programme after the due admission process. Researchers, who are working in such institutions/centres and fulfill the eligibility norms of the University, may be recognized as Research Co-Supervisors of SIU.



- 6.10 The qualification of a Co-supervisor will be the same as that of the Research Supervisor except that the person may be from within SIU or outside SIU, who is a recognized Research Co-Supervisor of SIU.
- 6.11 Co-supervisor may be included for supervising a student's research only after considering the number of students working under her/him and the limits defined according to the designation in clause 6.3. In addition to the defined limits on the number of Ph.D. scholars that can be supervised by them, a Professor can co-supervise 4, an Associate Professor can co-supervise 2 and an Assistant Professor can co-supervise only 1 Ph.D. scholar.
- 6.12 If the Ph.D. scholars are working in Central government/ State government research institutions whose degrees will be given by the University, the scientists in such research institutions who are equivalent to Professor/Associate Professor/Assistant Professor can be recognized as supervisors if they fulfill the criteria for recognition of Ph.D. Supervisors.
- 6.13 Professor of Practice/ Adjunct Faculty can be recognized as the Co-Supervisors, provided they have Ph.D. degree and required number of publications for recognition as Ph.D. Co-Supervisor.

## 7] Ph.D. Course Work

- 7.1 The Pre-Ph.D. course work minimum of 12 credits is a prerequisite for Ph.D. preparation. All Ph.D. Research Students shall undertake and complete the Ph.D. Course Work with minimum of 180 hours of contact and self-study which may be conducted over one semester or in a modular fashion.
- 7.2 A minimum of eight credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, field work, etc. Other courses shall be advanced level courses preparing the students for Ph.D. degree.
- 7.3 The Course Work for Ph.D. Programme may comprise the lectures, laboratory experiments, design work, minor projects, seminars, assignments and/or self-study courses depending on the nature of the discipline or faculty.
- 7.4 The Course Work shall be conducted in one of the constituent Institutes of the University. However, special permission may be granted by the Vice Chancellor on the recommendation of the Dean of the Faculty, to conduct only a part of the Course Work on a specialized topic at a Centre for Research Collaboration (CRC) considering the following:
- Number of Candidates at the Centre
  - Availability of Faculty and other resources

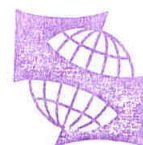
7.5 The Course Work will be divided into two broad sections as under:

**Table 3 Distribution of Credits for the Ph.D. course work**

Section	Title	Total Credits
I	Common Course work: a) Research Methodology b) Quantitative Techniques, computer applications, research and publication ethics and review of published research in the relevant field, training, field work, etc. and any other course deemed necessary for a Faculty.	Minimum 8 credits
	Advanced Courses or Seminars/Workshops in the area of Research	Credits to be decided by the Dean of the Faculty
	Literature Review/ Presentation	Credits to be decided by the Dean of the Faculty
<b>Total</b>		<b>Min 12</b>

- 7.6 Courses of Section I are compulsory courses for all Ph.D. candidates. Deans of Faculties may decide the compulsory courses related to the Research Methodology and to hold the same course work jointly or separately for the students. Separate courses on discipline specific research methodology may also be offered explicitly to the students of the respective Faculty.
- 7.7 Courses of Section I may be based on classroom teaching, research seminars and workshops as planned by the Dean of the Faculty concerned.
- 7.8 Evaluation of Section I of Ph.D. Course Work shall be through a 100% continuous evaluation system comprising assignments and end term summative examination.
- 7.9 Mode of evaluation of courses under Section II shall be decided by the Dean of the concerned Faculty in consultation with the Research Supervisor, if necessary. It will be paper writing, presentations, project outline, assignments etc.
- 7.10 Ph.D. Student has to obtain a minimum of 55% of marks in the course work in order to be eligible to continue in the Programme and submit the dissertation/thesis.
- 7.11 In exceptional cases, where a Research Student fails to fulfill attendance requirement of 75% or fails in the pre-Ph.D. course work, he/she shall apply for an extension for completion of the Course Work in a prescribed format (**Appendix 7.11**). The Dean of that Faculty concerned may accord approval on the recommendation of the Research Supervisor for another examination to be held after appropriate duration not more one year. Such candidates will be required to pay additional examination fees as per the rules of the University. Pre-Ph.D. Coursework can be extended with due permission of the Research and Recognition Committee (RRC) of the Faculty so that the student can complete the coursework with the next batch of Ph.D. programme. There will be no further extension given.

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**7.12** The provisional admission of a Research Student, who fails to complete the Course Work requirement even in the extended period shall be cancelled.

**7.13 Exemption from Ph.D. Course Work**

The following categories of students are exempted from Course Work:

- Those who have passed the course work of M.Phil. Programme with at least B+ grade or equivalent percentage of marks and have also studied and passed a paper on Research Methodology.
- Those who have passed Ph.D. Course Work from a recognized University subject to the submission of the following documents to SCRI (For lateral entry only)
  - a) Completion certificate of the Course Work attended
  - b) Transcripts
  - c) No objection certificate from the University, from which the student is seeking a transfer to SIU

**7.14** A Research Student shall be required to attend a minimum of 75% of the total lectures, tutorials, other-sessions etc. and successfully complete all evaluation to be eligible to receive a certificate of successful completion of Ph.D. Course Work.

**8] Registration**

Admission to the Ph.D. Programme is confirmed only on the successful completion of Course Work and approval of the Research Proposal by the Research Advisory Committee (RAC) (see clause 9).

**8.1** Research Students who undergo Course Work shall submit a Research Proposal, duly recommended by the Research Supervisor(s) within the period specified in Table 2 according to the Full Time/Part Time status of the student after the successful completion of the Course Work.

**8.2** Research Students who have been exempted from Ph.D. Course Work shall submit a Research Proposal within six months of the date of provisional admission, duly recommended by the Research Supervisor(s).

**8.3** In case of non-submission of the Research Proposal within the prescribed period, the Research Student may apply for extension in the prescribed pro forma (Appendix 8.3). The Dean of the concerned Faculty, on the recommendation of Research Supervisor(s) may grant an extension for a maximum period given in Table 2 according to the full-time or part-time status of the student. If the candidate fails to submit the Research Proposal even during the extension period, the provisional admission shall be cancelled.

- 8.4** The Research Proposal to be presented before the Research Advisory Committee (RAC) shall consist of the following:
1. Introduction
  2. Review of the literature
  3. Research gaps
  4. Research questions
  5. Statement of the problem
  6. Objectives of the study
  7. Scope and limitations
  8. Hypotheses (if any)
  9. Methodology, tools and techniques
  10. Schedule of the proposed work
  11. References
  12. Check-list
  13. Similarity report
- 8.5** The Research Student shall submit 4 copies of the Research Proposal to the Head, Research Programmes, SCRI, and SIU as per (Appendix 8.5).
- 8.6** The Research Student shall make a presentation of the Research Proposal to the Research Advisory Committee (RAC).
- 8.7** The presentations of the Research Proposals shall be organized in the University or at one of its constituent Institutes. Students from CRC shall also have to present their research proposals to RAC at SIU for approval.
- 8.8** The RAC shall give one of the following recommendations after the presentation of the Research Proposal:
- a) Approved
  - b) Approved with minor modifications
  - c) To be resubmitted and presented after major modifications
  - d) Not approved

In case of (a) and (b), the date of the confirmation of registration shall be the date of the presentation, provided the Research Student submits the revised proposal through the Research Supervisor and the Dean of the concerned Faculty within 15 days of presentation (in case of (b)). In case of (c) a maximum period of six months may be granted by the RAC for the resubmission of the proposal. The registration will be effective from the date of the subsequent presentation. In case of (d) the provisional admission shall be cancelled.

- 8.9** The title and the Research Proposal will be finalized by the RAC.
- 8.10** RAC will recommend whether the proposal needs to be approved by the Independent Ethics Committee (IEC) of SIU. If recommended so, the research proposal must be submitted to the IEC for their approval. The student and Supervisor can initiate their research by the time, IEC gives its recommendation, if the proposal is recommended by RAC to IEC. However, the researchers will have to follow the instructions given by the IEC of SIU.



- 8.11 All the Doctoral Research proposals, which are recommended by respective RAC to IEC will be sent to the committee by SCRI and one special meeting of IEC will be called to review the ethical aspects of proposed research studies.
- 8.12 The recommendations of the RAC shall be forwarded to the Research and Recognition Committee (RRC).
- 8.13 This must be noted that the approval given by the Research Advisory Committee to the research proposal of the student leads to the confirmation of Ph.D. registration of the student and happens much later than the provisional admission given after the payment of the admission fee (after getting shortlisted for the admission).

## 9] Research Advisory Committee and its functions

9.1 There shall be a Research Advisory Committee for each Ph.D. Student. The Research Supervisor of the student shall be the Convener of this Committee. This Committee shall have the following responsibilities:

- To review the research proposal and finalize the topic of research;
- To supervise the research student to develop the study design and methodology of research and identify the course(s) that he/she may have to do.
- To periodically review and assist in the progress of the research work of the research student.

9.2 The RAC shall have the following members:

- |  |   |                  |
|--|---|------------------|
| i) Dean of Faculty or Nominee                | – | Chairperson      |
| ii) One Member of the RRC                    | - | Member           |
| iii) Research Supervisor(s)                  | – | Member(s)        |
| iv) One External Expert in the Relevant Area | – | Member           |
| v) Head, Research Programmes                 | – | Member Secretary |

9.3 A research Student shall appear before the Research Advisory Committee once in six months to make a presentation of the progress of their work for evaluation and further guidance. The six-monthly progress review reports shall be submitted by the Research Advisory Committee to SCRI, a copy of which will be available to the research Student as per the proforma (Appendix 9.3).

9.4 In cases, where the progress of the research student is unsatisfactory, the Research Advisory Committee shall record the reasons for the same and suggest corrective measures. If the research student fails to implement these corrective measures, the Research Advisory Committee may recommend to the University with specific reasons for cancellation of the registration of the research student.

## 10] Monitoring Progress of Research Students

- 10.1** Research Student shall register at the beginning of every semester on a specified date by filing Semester Registration Form (**Appendix 10.1**). Research Student shall be required to submit a half- yearly progress report in a specified proforma in January and July of each year, till the submission of the final Thesis (**Appendix 10.2**)
- 10.2** Research Student shall present the work to the RAC, scheduled by the Dean of the Faculty after the submission of the progress report every six months. For the presentation of six-monthly progress, the presence of the external members of RAC will be optional with a consideration given to their availability. In this case, two senior members of the Faculty may be invited in place of the external members in the committee.
- 10.3** In case, a Research Student fails to submit two consecutive half-yearly progress reports and to present the work for two consecutive semesters or if the two progress reports are unsatisfactory, then the registration may be cancelled. However, in all such cases, the Research Student may appeal to the Vice Chancellor through the Research Supervisor and the Dean for reconsideration. The decision of the Vice Chancellor shall be final.
- 10.4 Mid-Term Review Presentations:** On completion of approximately 50% of the proposed work as evident from at least one paper (published/ accepted) in peer reviewed and Scopus indexed journals/ published patents etc. the Research Student shall make a review presentation to the RAC. This will be arranged by SCRI on the request of the Research Supervisor (**Appendix 10.5**).
- 10.5 Pre-submission Seminar Presentation:** The Research Student shall submit a proof of acceptance/publication of at least two research papers, mentioning SIU affiliation, in peer reviewed and indexed journals before submitting the draft thesis. At least one of the two research papers preferably be accepted/ published in journals indexed in Scopus/ SCI/ SSCI/ AHCI/ ABDC/ ABS/ FT50 at the time of thesis submission.
- 10.6** On completion of the research work as evident from above publications and after ensuring that at least two years have been completed from the date of the confirmation of registration, the Ph.D. Student shall submit to the University, through the Research Supervisors full version of the thesis, including references of the research work. The RAC, on the recommendation of the Dean of the concerned Faculty, shall assess the work. The student will be asked to deliver an open seminar before the Committee. If the Committee is satisfied about the quality of the work and finds it suitable for submission as a Ph.D. thesis, it may advise the student to prepare a synopsis and submit six hard copies and a soft copy in pdf format after the due approval of Head, Research Programmes On the other hand, if the committee is not satisfied with the quality of work done, it may recommend revision of the work on specific lines and direct the student to repeat the presentation after a specified period.
- 10.7** The Research Student, whose thesis is approved for submission, shall submit six copies of the synopsis of the Thesis to the Head, Research Programmes, SIU so that these will be sent to the proposed examiners while obtaining their acceptance to act as examiners. The Head,

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Research Programmes, SIU, on receipt of the intimation from the Research Student, shall take the necessary steps for the appointment of examiners.

## 11] Change of Supervisors and Transfer of Students

- 11.1 Transfer of Ph.D. Students from one supervisor to another supervisor can be affected, if mutual willingness was given by both the original and new supervisors.
- 11.2 In the case of change of supervisor or transfer of candidates is proposed without the consent of any one of the parties concerned, the matter shall be referred to the RRC of the Faculty, whose decision shall be final.
- 11.3 Request for change of the Research Supervisor shall be entertained in the prescribed pro forma (**Appendix 11.3**) only in the following cases:
- The Research Supervisor has left the service of the University
  - By mutual consent of both the Research Supervisor and the Research Student.
  - In special circumstances, the change of the Research Supervisor can be approved by the RRC even without the consent of the present Research Supervisor.
- 11.4 The supervisors who wish to avail leave/lien/deputation beyond a period of six months shall nominate a co-supervisor in the concerned subject for the candidate(s) registered with them and the fact intimated to SCRI in advance. Student will follow the process of inclusion of Co-Supervisor (**Appendix 6.8**) and an application with recommendation of Supervisor and the Dean of the Faculty will be submitted for the approval of the RRC.
- 11.5 **Change of University of Research by Students:** In case of relocation of a Ph.D. Student due to valid reasons, the research work can be transferred from SIU to some other University provided that the RAC confirms that the work done till that time is less than the half of the required work for the Ph.D. topic. If a Student has finished half of the research work with SIU then he/she will have to complete the remaining research with SIU. The transfer request will be recommended by the RAC of the student to the RRC for final approval. Approval by the RRC will include the transfer of the research data to the University to which the student intends to relocate provided all the other conditions in these rules are followed in letter and spirit and the research work does not pertain to the project secured by the parent institution/supervisor from any funding agency. The student will however give due credit to the parent supervisor and the institution for the part of research already done (**Appendix 11.5**).
- 11.6 Aspirants registered with other University can be transferred to SIU Ph.D. Programme, only if
- the student's research proposal for Ph.D. has been approved by the statutory body of the source University,
  - the source University has followed the Ph.D. Admission Process and Ph.D. course work as per the University Grants Commission (Minimum Standards and Procedure for Award of M.PHIL./ Ph.D. Degrees) Regulations, 2022



- less than half of the research work required for the Ph.D. has been finished,
- the research topic is suitable to the SIU's research agenda and
- there is a Supervisor recognized by SIU is available and has vacancy.

If the aforesaid conditions are satisfied, the student can submit the application given in (**Appendix 11.6**).

#### **11.7 Conversion of Full-Time Registration into Part-Time and Vice-Versa**

Notwithstanding anything prescribed in these Rules, the University may permit conversion from Full-time research to Part-time research and vice-versa in respect of candidates registered, for valid reasons and subject to satisfying the Regulations, rules and conditions in force (**Appendix 11.7**).

Provided that in the case of conversion from full-time research to part-time research, the whole period put in by the candidate, will be taken into account for purposes of reckoning the minimum period of research to be put in by the candidate and in the case of conversion from part-time research to full-time, 2/3 of the research period put in as part-time will be taken into account for purposes of reckoning the minimum period of research to be put by the candidate, to become eligible to submit the Ph.D. thesis.

#### **11.8 Discontinuation from Ph.D. Programme**

During the span of Ph.D. Programme, the students may voluntarily wish to discontinue from the Programme due to some reasons. This requires the recommendation of the Ph.D. Supervisor and official approval of the Dean of the concerned Faculty. (**Appendix 11.8**) can be used for this purpose.

#### **12] Submission of Thesis**

**12.1** The Research Student shall be required to submit the Thesis within three months of the date of presentation in which the full thesis was approved for submission. An extension of another three months may be given by the Vice Chancellor on a formal application from (**Appendix 14.2**) the student recommended by the Research Supervisor and Dean of concerned Faculty.

**12.2** Format of the Thesis: The Thesis shall be written in English in the specified format (**Annexure 12.2**).

**12.3** The following documents shall be submitted by the Research Student at the time of submission of Thesis:

- Thesis submission form (**Appendix 12.3**) signed by the student and the supervisor
- Three copies of Thesis
- One hard copy of the synopsis
- Soft Copies:
  - Entire Thesis and synopsis in PDF format
  - Chapter-wise Thesis in PDF format, all publications with the list, Passport-size photograph
- Originality report for plagiarism check signed by the Research Student and the Supervisor shall be included in the thesis as an annexure.
- Pending fees, if any.



- 12.4 The Research Student shall submit a proof of acceptance/publication of at least two research papers, mentioning SIU affiliation, in peer reviewed and indexed journals before submitting the Thesis. At least one of the two research papers preferably be accepted/ published in journals indexed in Scopus/SCI/SSCI/AHCI/ABDC/ABS/FT50 at the time of thesis submission.
- 13] **Validity of Registration:** The duration of Ph.D. registration will be as per the details given in Table 2 for the full-time and part-time students. The Research Student shall submit the Thesis to SCRI within 5 years but not earlier than 2 years from the date of registration.
- 14] **Extension of Registration:** The Research Student shall ordinarily complete the research work within the normal period as provided in the rules (Table 2), but in genuine cases of hardship, the Dean of the concerned Faculty, on the recommendations of the Research Supervisor, may allow extension up to one year with the approval of the RRC. (**Appendix 14.1**) Further, if at the end of the one year extension given by the RRC after the confirmation of registration (total 5 years for full time and 6 years for part time student), the Research Student is found to have completed a substantial part of the thesis or has published research papers in some refereed journals, the Vice Chancellor on the recommendation of the Dean of the concerned Faculty, may allow further extension of one year, after recording detailed and specific reasons as to why this special extension is being allowed (**Appendix 14.2**). Registration of a Research Student, who fails to submit the thesis within the stipulated period as above or who fails to apply for grant of extension, will automatically stand cancelled. No extension beyond the total period of six years for the full-time and seven years for the part-time students after the confirmation of the registration shall be granted in any case.
- 15] The Research Students shall check the similarity percentage using authentic software used by SIU. The students shall also ensure that, they comply with the UGC notifications/circulars from time to time. In case the research work of a Research Student is found to be borrowed from other research/sources without proper acknowledgement, credit and reference OR copied verbatim suitable action shall be taken by the University as per its Plagiarism Policy to uphold the sanctity and integrity of the Ph.D. Research Programme and credibility of the University. The Originality Report from the authentic software tool of the University (hard copy) signed by the Research Student and the Research Supervisor, shall be submitted at the time of submission of Thesis. The similarity percentage shall not exceed limit of 10%.
- 15.1 Adherence to Ethical Conduct during Research - All the Students shall comply with the "Guidelines for Ethical Conduct in Research" (**Appendix 15.1**).
- 16] **Examination**
- 16.1 The Research Supervisor shall submit a panel of eight examiners (**Appendix 16.1**) along with their summarized Curriculum Vitae (CV) in the area of research to the Vice Chancellor



through the Head, Research Programmes, while forwarding the copies of the synopsis and thesis to the University. The panel must include at least 50% examiners from outside the State. There shall be no examiner from the same organization and city as that of the Research Student. The Vice Chancellor may ask Head, Research Programmes to include additional name(s) in the panel of examiners.

**16.2** The Research Supervisor will also submit names and CV of two reviewers in the area of research from Universities outside India.

**16.3** The Vice Chancellor will appoint two examiners from the panel of eight, out of which generally one examiner from the state, one from outside the state.

One reviewer from overseas as mentioned in clause 16.10 will be appointed for the purpose of academic review of the thesis.

**16.4** All three examiners including supervisor shall submit a detailed Evaluation Report in the prescribed Performa (**Appendix 16.4**) within eight weeks from the date of the receipt of the Thesis. The assessment report will clearly indicate:

- a) The Thesis is recommended for the award of a Ph.D. degree.
- b) The Thesis is recommended for the award of a Ph.D. degree after minor revision.
- c) The Thesis be revised.
- d) The Thesis is rejected.
- e) Recommended for publication Yes/No/After modification
- f) Questions that they may like the Research Student to answer in the viva-voce, in a separate envelope.

In case an examiner recommends revision of the Thesis, they shall also indicate whether the revisions suggested requires:

- i) Substantial changes in the Thesis before it can be accepted for a Ph. D. degree.
- ii) Minor additions or alterations in the Thesis before its acceptance.
- iii) The examiner may indicate whether they would like to re-examine the Thesis after the revision.

**16.5** The reports of the examiners (excluding the questions suggested for viva-voce) will be opened by Head, Research Programmes.

**16.6** In case both examiners recommend rejection, the Thesis shall be rejected.

**16.7** In case one out of the two examiners rejects the Thesis, it will be sent to a third examiner (appointed by the Vice Chancellor) for evaluation. The Thesis shall be accepted only when at least two examiners approve it.

**16.8** In case an examiner recommends modification to the Thesis, the Research Student shall carry out the necessary revision/modification as suggested by the examiner before the case is processed further.



**16.9** The Research Student, who is required to re-submit the Thesis, must do so within one year from the date of receipt of the examiner's comments by the University, unless an extension is specially given by the Dean of concerned Faculty. A re-submitted Thesis shall be examined by the same examiner who had recommended re-submission unless the examiner is unable to, or declines to do so.

**16.10** Out of two names of the reviewers of the thesis from the foreign University, the Vice Chancellor will select one name and the thesis will be sent to him/her for review. The format for the review by thesis reviewer is given in Annexures. The review comments must be received from the reviewer in eight weeks of the receipt of the thesis. These review comments will be sent to the Supervisor and the Student and will be discussed at the time of the viva voce of the student.

**16.11** The viva-voce examination shall be compulsory for all the Research Students and shall be conducted by the following Committee as far as possible within two months of opening the reports:

- |   |                       |
|---|-----------------------|
| 1. Dean of Faculty                            | - Chairperson         |
| 2. One of the External Examiners              | - Viva- voce Examiner |
| 3. Research Supervisor(s)                     | - Member(s)           |
| 4. Members of the Research Advisory Committee | - Members             |
| 5. Head Research Programmes                   | - Member Secretary    |

**16.12** There shall be a public Viva Voce examination conducted at the University. The Viva Voce must be conducted within two months of opening of reports.

**17] Depository with INFLIBNET:**

**17.1** Following the successful completion of the evaluation process and before the announcement of the award of the Ph.D. degree, an electronic copy of the Ph. D. thesis will be submitted to the INFLIBNET for hosting the same so as to make it accessible to all Institutions/ Colleges.

**18] Award of Degree:**

**18.1** The Committee under the Chairpersonship of the Dean of concerned Faculty shall give final recommendations for the award of a Ph.D. degree on the basis of performance in the viva-voce examination and the examiners' reports. Their commendations will be sent to the Vice Chancellor for approval for the award of Ph.D. degree, in their capacity as Chairperson of the Academic Council.

**18.2** The Registrar shall publish the result and issue provisional degree in accordance with the decision of the Chairperson, Academic Council.

18.3 Along with the degree, the University shall issue a provisional certificate certifying to the effect that the degree has been awarded in accordance with the provisions of UGC Minimum Standards and Procedure for award of Ph.D. Degree, Regulation 2016.

## 19] Withdrawal of an Awarded Ph.D. Degree

In case there is a complaint of plagiarism or any other serious academic misconduct and if upon investigation by a committee duly appointed by the Vice Chancellor, the complaint is found to be correct, the Ph.D. degree already awarded shall be withdrawn. In case of any dispute or discrepancy, the decision of the Vice Chancellor shall be final and binding.

## 20] Guidelines for Practice based Ph.D. Programme

### 20.1 Preamble

Traditionally, the outcome of doctoral research is a thesis or dissertation. However, in the humanities and social sciences, there are some disciplines such as design, photography, audio-visual, and/or journalism, which are strongly practice-based, practice-led, and industry-focused. To facilitate dissemination of the 'learning' from such practices in such disciplines, many universities across the globe, including India, permit / encourage 'practice-based research' and accept related output. In practice-based research, the process of enquiry remains the same, but the output is 'Non-traditional'. This means that the output, in general, is a product such as a documentary, design patent, photographs, created on the basis of the underlying theoretical premises. Such output stands up to academic rigor considering the theoretical underpinning integral to its creation.

### 20.2 Guidelines for Practice-based PhD at Symbiosis International (Deemed) University

In the context of the Faculty of Media and Communication of SIU, doctoral students may take up practice-based research to integrate theory and practice for creation of new knowledge. This may be achieved through the production of artifacts which may include (and not limited to) a film (feature or documentary), photography project, an innovative design of any product, multimedia work among others. However, the doctoral work is not a mere production activity but has a rigorous academic core based on sharp theoretical arguments and shaped by nuanced methodological frameworks. Hence, the final submission will have two parts – the creative output (film, photographic project, multimedia work or other related output) and a written exegesis/thesis.

- A. Eligibility** – The practice-based Ph.D. programme at SIU will be offered under the faculty of Media & Communication and will follow the norms laid down by the University for Admission to Ph.D. programme. In addition to the eligibility criteria mentioned in section 3, a candidate applying for the Practice-based Ph.D. programme should be able to demonstrate five years of relevant professional (technical, if required) experience after acquiring their postgraduate qualifications to establish their eligibility for the practice-based track.
- B. Selection Process** – The admission process will be conducted by SIU as per the laid down processes and guidelines and shall be commensurate with the UGC guidelines. Once the

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candidate is shortlisted for personal interview, she/he is required to present a portfolio of their professional work before the Research Committee of the Faculty. The committee will have at least one external expert from the industry and academia each.

- C. Research Supervisor** – It is proposed that besides the primary research supervisor, who is from SIU, the candidate can have a co-supervisor, who may be an expert from the field (industry).
- D. Coursework** – The candidate will undertake the Pre-Ph.D. coursework organized by the Faculty of Media & Communication as per the guidelines laid down by SIU.
- E. Research Advisory Committee** – The RAC of such student will comprise the RRC member for the Faculty and one external expert from the field (industry) in addition to the Dean, Supervisors and the representative from SCRI.
- F. Confirmation and Progress Monitoring** - The Practice-based Ph.D. researcher shall follow the process of confirmation and progress monitoring at all stages similar to the regular Ph.D. programme as laid down in the SIU guidelines. For getting confirmation in the programme, the researcher shall present their proposal outlining the idea of research, innovation highlighting the expected contribution of the research being undertaken. The candidate shall also present the progress of the work at the end of each semester to a committee appointed by the Dean of Faculty. The mid review shall be conducted after creation of a prototype, production of a film (before post processing etc.). Once the product, film or media is ready and candidate has written full report on the practice – based work, the pre-submission seminar may be conducted.
- G. Examination** - The outcome of the Practice-based doctoral research will be examined by a committee consisting of two experts [one academic expert from the specific discipline/subject area and one practitioner (who may be a non-Ph.D.)]. The candidate shall be defending their work before the committee during the final viva voce examination. All norms related to the examination will remain the same as stated in section 16.
- H. Important Considerations**
1. The Practice-based Ph.D. programme be offered on pilot basis to candidates admitted during from academic year 2018-19 only in the Faculty of Media and Communication. It is recommended that only full-time candidates and/or only SIU faculty members (if part-time) may be identified in the first three years to ensure complete supervision and monitoring of the programme to ensure rigor, robustness and academic integrity.
  2. The output of this doctoral programme is a combination of practice-based output and a written thesis. The RAC shall decide the proportion of practice and theory components for specific cases. The ideal proportion would be 40 % theory and 60 % practice or 50-50 as per the topic of the research. The chapter on results and discussions (outcome) will be replaced by the practice component. The candidate is required to showcase the pilot output to RAC. The minimum word length of the written thesis should be 15,000 words.
  3. The written thesis will be based on the interpretative paradigm and utilize a qualitative research-based framework. It will document process development, context of the study,

literature review, methodology and outcome. The review of literature and theoretical framework should be a critical reflection that situates the research work in the domain of media and communication and also theorizes how it is making contribution to knowledge in this area.

## **21] Additional Clauses for Doctor of Philosophy in Nursing**

The Ph.D. programme at SIU in Nursing will be guided by the Indian Nursing Council (INC) (Guidelines for Starting Ph.D. in Nursing Program in the Universities approved by the Council), Regulations, 2020.

### **21.1 Eligibility Criteria for admission to Ph.D.**

- a) M.Phil. (Nursing) or M.Sc. (Nursing) or a Post Graduate degree in Nursing recognized by Council with 3 years teaching or Clinical experience after M.Sc. (Nursing) for admission to a part-time Ph.D. programme for external organizations. (Part Time External);
- b) The candidates should have passed M.Sc. (Nursing) with a minimum of 60% marks and working in Teaching Institution/Hospital/Community Centre/Nursing Department within the University for part-time internal students (i.e. faculty/staff members); and
- c) The reservation will be as per the UGC guidelines (i.e. 15 % SC, 7.5 % ST, 3 % DA). Relaxation of 5 % marks on eligibility criteria for SC/ST/ DA.

### **21.2 Criteria for Selection**

- a) Selection for the Ph.D. Programme shall be based on merit and candidates have to appear for an entrance examination conducted by the University;
- b) The entrance test shall consist of only one paper of 90 marks comprising of subject specific and research methodology. This paper will comprise of 60 marks for Nursing and 30 marks for research methodology;
- c) Minimum passing marks shall be 60 % (54/90 for open category, 50/90 for SC/ST/DA);
- d) 5 marks will be given to candidates possessing M.Phil. in Nursing;
- e) 5marks weightage will be given to candidate's publications; and
- f) Besides the entrance test, the candidate will have to appear for a personal interview also.

### **21.3 Criteria for Supervisors**

- a) Ph.D. degree with five years post graduate teaching experience with a minimum of 5 publications in National/ International journals;
- b) Maximum age of 65; and
- c) Supervisors can select maximum of two students per year and shall not exceed total six scholars (including the students being co-supervised) at any point of time;

### **21.4 Criteria for Co-supervisors**

- a) Professionals holding Ph D degree who are not formal teachers can be appointed as co-supervisors;
- b) For selection of co-supervisors from nursing area, the norms of INC on publications and age shall prevail; and
- c) If the co-supervisor is from other discipline, the criteria for recognition by SIU norms shall prevail.

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### 21.5 Duration of the Programme

- Full Time: Within three years of provisional admission and not exceeding six years from date of provisional admission. (Min time of two years after confirmation shall be spent before a student is allowed to submit their thesis);
- Part Time: Within 5 years from date of provisional admission. Maximum duration shall be seven years from date of provisional admission (Min time of two years after confirmation shall be spent before a student is allowed to submit their thesis);
- Full time students shall seek approval of RRC after 4 years and part time after 5 years as per the prevailing system of SIU; and
- One-year extension can be given by the Hon'ble Vice Chancellor in exceptional situations on the recommendation of Dean of Faculty.

### 21.6 Coursework and Pre-Ph.D. Examination

- The provisional admission of a candidate shall be confirmed only after they passes pre- Ph.D. qualifying examination conducted at the end of one year;
- Each student has to undergo 75 hours of contact sessions and 4 hours of self-study sessions;
- These 120 hours (8 credits) are further divided as follows:

**Table: Coursework for Ph.D. in Nursing**

Sr No	Course	Contact Hours	Self-study Hour	Credits
1	Nursing Leadership in Health Care Delivery System	20	10	2
2	Philosophy of Nursing Science and Theoretical Perspectives	15	15	2
3	Nursing Theories and Theory Development	40	20	4
	<b>Total</b>	<b>75</b>	<b>45</b>	<b>8</b>

- The syllabus for the above courses shall be as per the as per the INC Regulations 2020;
- A minimum of 70 % attendance is compulsory, failing which the student is not allowed to appear for Pre-Ph.D. examination; and
- The students falling short of attendance can apply for coursework extension as per the prevailing SIU system so that they can attend with the next batch.

### 21.7 Pre-Ph.D. Examination

- The provisional registration of the candidate shall be confirmed only after they have passed the Pre- Ph.D. examination which shall be conducted after the completion of one year from the date of provisional registration of the candidate;
- The student shall be required to submit their research proposal after they completes six months after provisional admission with the dates specified by the University;
- Once the student qualifies pre-Ph.D. examination the admission shall be confirmed;
- The scheme of Pre-Ph.D. Examination is as follows. Minimum passing marks are 60percent.

The evaluation process suggested by INC shall be followed.

**Table: Scheme for Pre-Ph D Examination**

Paper No	Subject	Duration	Marks
Paper I	Research Methodology & Applied Statistics	3 Hrs	100
Paper II	Nursing Science & Theory Development	3 Hrs	100
Internal Assessment to be done by Supervisor	Seminar / term Paper	-	100
Evaluation by RAC	Viva voce (Proposal defense)	-	100

- e) In case the candidate is not successful in the Pre-Ph.D. examination in the first attempt they may be given two more chances to appear for entire examination after a period of six months;
- f) Further, if they are unable to attend or appear in the supplementary examination, then they have to appear in the next regular examination, after that they will not be permitted to sit in the examination; and
- g) If the candidate is not successful in the Pre-Ph.D. examination, even in the second appearance, their provisional registration shall stand cancelled.

#### **21.8 Progress Monitoring**

- a) No two half yearly reports be submitted together.
- b) Progress reporting shall start soon after provisional admission till the student submits their thesis.
- c) Clearance from ethics committee is mandatory

#### **22] Interpretation and Power to Modify**

**22.1** Any doubt or dispute arising out of the interpretation of these Regulations shall be referred to the Vice Chancellor, whose decision shall be final and binding.

**22.2** Notwithstanding all that has been stated in the above Rules, the University shall have the right to modify any of the above regulations from time to time with prospective or immediate effect.

#### **23] General**

Notwithstanding anything contained in these Rules, all Research Students shall be governed by the Code of Conduct and general rules and procedures framed by the University, and in force from time to time.



**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**

**Template of the Consent Letter from the Organization of the Part Time External Candidate working with other organization**

This is to certify that \_\_\_\_\_ <Employee Name & ID > is a bonafide employee of \_\_\_\_\_ <Organization Name> and is currently working with us since \_\_\_\_\_ <period>. Their designation is,

This certificate is being issued on their request to enable him/her to pursue Ph.D. in \_\_\_\_ <Faculty and Specialization> from Symbiosis International (Deemed University) and is solely for their personal requirement. \_\_\_\_ <Organization Name> shall not beresponsible for its improper use.

We do not have any objection on her/his initiative of pursuing Ph.D. Programme.

Regards,

For < Organization Name and Designation>

Signature of

<

>

**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**

**Ph.D. ADMISSION YEAR- PROPOSED RESEARCH IDEA**

<b>Name of the Applicant</b>	
<b>Faculty</b>	
<b>Sub-stream</b>	
<b>Specialization</b>	

Please write the proposed research idea in not more than 500 words. This is a brief description of the research plan which should include:

- i) Research Background.
- ii) Need for doing this research.
- iii) Proposed approach for doing research.
- iv) Benefit expected from Research outcome.

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**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)  
CONSENT BY RESEARCH SUPERVISOR**

1. I am willing to supervise the Research Work of Mr. /Ms./ Mx. \_\_\_\_\_, SCRI ID \_\_\_\_\_ on the subject \_\_\_\_\_, if they are registered for Ph.D. in Faculty of \_\_\_\_\_.
2. To the best of my knowledge, the subject selected has not been studied so far in any University.
3. The subject will lead to a valuable contribution.
4. I have\_(give number) Ph.D. students to supervise and \_\_\_\_\_(give number) Ph.D. students to co-supervise, who are formally registered under my supervision before giving consent to this candidate.
5. The candidate is not a close relation of mine as per the Ph.D. Rules of SIU.
6. Is the student selected as JRF? Yes/No
7. If the student is selected as JRF, has the availability of resources (office space, other amenities) been ensured after discussion with the Director? Yes/ No
8. Name, Designation and Address of Research Supervisor:
9. Signature of candidate:
10. Signature of Research Supervisor: (Name and Designation)
  1. Contact Number: \_\_\_\_\_ Date: \_\_\_\_\_
  2. Email: \_\_\_\_\_ Place: \_\_\_\_\_

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Certified that the available research facilities will be extended to Mr. /Ms. .... for Research Work if he/she is registered for Ph.D.

Dean of Faculty:

Date:

Head, Research Programmes/SCRI:



**Process for recognition of new Co-Supervisors of SIU for Interdisciplinary and specialized domain research.**

As per the UGC letter, D.O. No. F. 1O-6/2011(PS) Misc. dated July 6, 2015, only regular Faculty members of the University can supervise Ph.D. Students. The mandate of recognizing only regular Faculty members as Ph.D. Supervisor must not constraint the evolution of intellectual capital of SIU. The university encourages Doctoral research in Interdisciplinary areas and niche areas like Design, Fashion, Media and others. In that context, we value the support of external Supervisors, who are experts in specific areas and would make valuable contribution to the research process and outcome.

From this perspective, we propose recognition of the external experts as Co-Supervisors for supervising Ph.D. Students so that they accomplish an exemplary Doctoral Research in specialized disciplines. Following process of recognition will be followed.

• **Eligibility**

Eligibility for Co-Supervisor remains the same as the eligibility of Supervisor as stated in SIU Ph.D. Regulations 2015 and in subsequent Regulations as and when issued by the University. It may be noted that at a time, the number of Ph.D. students under a Supervisor/Co-Supervisor will be as per Ph.D. Regulations 2016 of the UGC, clause 6.5.

• **Process**

Following steps must be followed by different stakeholders.

- A) The Supervisor submits a formal recommendation letter regarding the need for a Co-Supervisor with specialization duly recommended by the Dean of the Faculty to SCRI.
- B) SCRI will submit the following documents to the RRC of the respective Faculty for approval: Recommendation for Co-Supervisor by the Supervisor of Student Application for Recognition by the prospective Co-Supervisor
- C) SCRI will formally inform the decision of RRC to the prospective Co-Supervisor and obtain their consent, if the RRC has accepted the application.

*MSH*





**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**

**Format - Request for Inclusion of Co-Supervisor To be filled by the Research Supervisor**

**Ph.D. Student's Details** :

Name PRN :

Faculty :

Date of Provisional Admission :

Date of Registration :

Topic of Ph.D. Work :

Name of the Proposed /

Approved Supervisor :

Reason for the inclusion of :  
a Co-Supervisor (Give one-page  
justification)

**Recommended Co-Supervisor**

Name :

Designation :

Affiliation :

Contact Phone No. :

Contact Mobile No. :

Contact Email Id :

Contact Address :

CV attached (Yes/No) :

He/she is supervisor in any other :  
universities/ Institutions :

---

Name the University (s)/ Institution(s) :

Signature of Research Supervisor Date:  
Place:

**Recommended to SCRI**  
**Dean of the Faculty**  
**Date & Place:**

**Recommended to RRC**  
**Head, Research Programmes /SCRI**  
**Date & Place:**



**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)  
APPLICATION FOR RECOGNITION AS A RESEARCH CO-SUPERVISOR**

Applied for Faculty of :

<b>Law</b> <input type="checkbox"/>	<b>Management</b> <input type="checkbox"/>	<b>Computer Studies</b> <input type="checkbox"/>
<b>Media and Communication</b> <input type="checkbox"/>	<b>Medical Health Sciences</b> <input type="checkbox"/>	<b>Humanities &amp; Social Sciences</b> <input type="checkbox"/>
<b>Engineering</b> <input type="checkbox"/>		

Specialization .....

1. Name (In block letters) .....
2. Date of Birth .....
3. Nationality ..... Male/Female: .....
4. (a) Post held at the time of sending the application, date of appointment (whether permanent, onprobation or temporary)  
.....  
.....  
.....  
(b) Name of Employer:  
.....
5. Do you belong to Scheduled Caste/Scheduled Tribe/OBC/ Physically Handicapped (VH or OH)? If yes, please attach certificate.
6. (a) Address for Correspondence:  
.....  
.....  
.....  
Tel No.....Mobile No..... Email.....  
  
(b) Permanent Address:  
.....  
.....  
.....  
Tel No.....Mobile No..... Email.....





7. Academic Qualification:

Examination	Year of completion	Main Subject(s)	Division /Grade	Marks Aggregate & Percentage	University
Bachelor's Degree					
Master's Degree					
M.Phil.					
Ph.D.					
Title of Ph.D. Thesis:					
Date of Award of Degree					
Other Distinctions					

8. Whether the candidate has qualified UGC NET/JRF examination (if so, give details):

9. (a) Teaching Experience:

Name of the University/ College/ Institutions	Designation & scale of pay	Nature of Post	Subjects Taught
		Temporary/ Permanent	
		Under graduate	Postgraduate

(b) Other professional experience (in detail):

.....  
 .....  
 .....

10. (a) Publications: Attach on separate sheet(s)

(i) Select list of the research publications in last five years (provide photocopies, the first page of the research paper should be self- attested)

.....  
 .....

(ii) Complete list of research publications (including details of authorship, year of

publications, title, name of the journal, volume number, page numbers and name of publisher)

- (iii) List of other publications (books, chapters in edited books, review articles etc. with complete details) .....
- .....  
information on research projects and patents (published/granted)  
.....

**(b) Research Supervision**

- (i) Supervision of awarded doctoral thesis-----  
(ii) Supervision of doctoral dissertation, under progress -----  
(iii) Supervision of awarded M.Phil. dissertations -----  
(iv) Supervision of M.Phil. Dissertation, under progress -----

11. (a) Academic award and distinctions -----  
(b) Membership of learned bodies -----

12. Recognition by other Universities as Doctoral Research Co-Supervisor

Name of the University	Faculty/Department	Date of Recognition (attach copy)	No. of Students Completed		No. of Students Pursuing	
			M.Phil.	Ph.D.	M.Phil.	Ph.D.

13. Any other relevant information

Signature of the applicant

**Declaration:**

I Declare that the statement made in this application are true to the best of my knowledge and belief.

**Date:**

Signature of the applicant



14. Forwarded with the remarks that the facts stated in the above application have been verified and found correct and this Institution/ Organization has no objection to the candidature of the applicant being considered for Recognition as Research Co-Supervisor at Symbiosis International University.

Designation -----

Signature -----

Address -----

(Head of the Institution/ -----

-----

Organization with seal)

Pin Code.

Date: -----

Telephone No. -----

15. List of enclosure with details

.....  
.....  
.....



## SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

## APPLICATION FOR RECOGNITION AS A RESEARCH SUPERVISOR

Applied for Faculty of :

<b>Law</b> <input type="checkbox"/>	<b>Management</b> <input type="checkbox"/>	<b>Computer Studies</b> <input type="checkbox"/>
<b>Media and Communication</b> <input type="checkbox"/>	<b>Medical Health Sciences</b> <input type="checkbox"/>	<b>Humanities &amp; Social Sciences</b> <input type="checkbox"/>
<b>Engineering</b> <input type="checkbox"/>		

11. Name (In block letters) : .....
12. Date of Birth : .....
13. Nationality: ..... Male/Female: .....
14. (a) Post held at the time of sending the application, date of appointment (whether permanent, on probation or temporary)  
.....  
.....
- (b) Name of Employer : .....
15. Do you belong to Scheduled Caste/Scheduled Tribe/OBC/ Physically Handicapped (VH or OH). If yes, please attach certificate.
16. (a) Address for Correspondence:  
.....  
.....  
Tel No. .... Mobile No. .... Email.....
- (b) Permanent Address:  
.....  
.....  
Tel No. .... Mobile No. .... Email.....





17. Academic Qualification:

Examination	Year of completion	Main Subject(s)	Division /Grade	Marks Aggregate & Percentage	University
Bachelor's Degree					
Master's Degree					
M.Phil.					
Ph.D.					
Title of Ph.D. Thesis:					
Date of Award of Degree					
Other Distinctions					

18. Whether the candidate has qualified UGC NET/JRF examination (if so, give details):

19. (a) Teaching Experience:

Name of the University/ College/ Institutions	Designation & scale of pay	Nature of Post	Subjects Taught
		Temporary/ Permanent	
		Under graduate	Postgraduate

(b) Other professional experience (in detail):

.....  
 .....  
 .....

20. (a) Publications: Attach on separate sheet(s)

(i) Select list of the research publications in last five years (provide photocopies, the first page of the research paper should be self- attested)

.....  
 .....

- (ii) Complete list of research publications (including details of authorship, year of publications, title, name of the journal, volume number, page numbers and name of publisher)
- (iii) List of other publications (books, chapters in edited books, review articles etc. with complete details) .....
- .....  
 information on research projects and patents (published/granted)  
 .....

**(b) Research Supervision**

- (i) Supervision of awarded doctoral thesis-----
- (ii) Supervision of doctoral dissertation, under progress -----
- (iii) Supervision of awarded M.Phil. dissertations -----
- (iv) Supervision of M.Phil. Dissertation, under progress -----

21. (a) Academic award and distinctions -----  
 (b) Membership of learned bodies -----

**22. Recognition by other Universities as Doctoral Research Co-Supervisor**

Name of the University	Faculty/Department	Date of Recognition (attach copy)	No. of Students Completed		No. of Students Pursuing	
			M.Phil.	Ph.D.	M.Phil.	Ph.D.

23. Any other relevant information

**Signature of the applicant**

**Declaration:**

I Declare that the statement made in this application are true to the best of my knowledge and belief.

**Date:**

**Signature of the applicant**

24. Forwarded with the remarks that the facts stated in the above application have been verified and found correct and this Institution/ Organization has no objection to the candidature of the applicant being considered for Recognition as Research Co-Supervisor at Symbiosis International University.

*Handwritten signature*





Designation -----

Signature -----

Address -----

(Head of the Institution/ -----

-----

Organization with seal)

Pin Code.

Date: -----

Telephone No. -----

**25. List of enclosure with details**

.....  
.....  
.....



## SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

## APPLICATION FOR SEEKING EXTENSION TO COMPLETE COURSE WORK

• Name of the student:	PRN:
• Name of the Faculty	
• Date of Provisional admission to the Ph.D. Programme	
• Dates of course work	
• Please tick the component not completed	
• Not Registered for Course Work	
• Less than 75% Attendance in Course Work	
• Failed in one or more written course/courses	
• Did not do the assigned work of other components	
• Could not complete Literature Review	

- Reason for the above (Please attach necessary documentary evidence to support the request)

Signature of the Student:

Date:

Place:

Recommendation of the Research Supervisor:

-----

Extension for one additional chance may be/may not be given:

- Research Supervisor Name: -----
- Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Approved /Not Approved

1. Dean of Faculty:

Date:

2. Head, Research Programmes /SCRI





## SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

## APPLICATION FOR SEEKING EXTENSION TO SUBMIT RESEARCH PROPOSAL

• Name of the student:	PRN:
• Name of the Faculty	
• Date of Provisional admission to the Ph.D. Programme	
• Dates of course work	
• Was any extension taken for completion of Coursework	
• If yes give details:	
• Due Date of Submission of Research Proposal	
• Extension requested up to (Specify date)	
• Reason for seeking Extension	

Signature:

Date:

Place:

## Recommendation of the Research Supervisor:

-----

Extension for one/two/three months may be/may not be given:

- Research Supervisor Name: -----
- Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## Approved /Not Approved

1. Dean of Faculty:

Date:

2. Head, Research Programmes /SCRI



**Guidelines for Writing Research Proposal for Confirming Doctoral Programme  
Registration**

**Research Proposal**

**Submitted to**

**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**

**For**

**DOCTOR OF PHILOSOPHY  
(Faculty of Medical and Health Sciences)**

**Yogesh Bhagwan Patil  
(PRN 170490010XX)**



**Under the Guidance of**

**Dr. Sanjay D. Pohekar  
Supervisor, Professor  
Symbiosis Institute of Technology, Pune**

**and**

**Dr. Deepak Tatpuje, Co-Supervisor  
Professor and Head- Research Projects  
Symbiosis Center for Research and Innovation, Pune**

**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY), Pune-412115**

**Year**





**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**

**CERTIFICATE**

Research Proposal entitled “**Guidelines for Writing Research Proposal for Confirming Doctoral Programme Registration**” being submitted by Mr./Ms. **Yogesh Bhagwan Patil (PRN 170490010XX)** to the Symbiosis International (Deemed University), Pune for the registration of Ph.D. Degree under the Faculty of Medical and Health Sciences has been prepared as per the guidelines given Symbiosis Centre for Research and Innovation.

Signed by Research Student

**Name of the Student**

**PRN**

**Signed by Research Supervisor  
Name and Designation**

**Signed by Research Co-Supervisor  
Name and Designation**

Date: \_\_\_\_\_

Place: \_\_\_\_\_



## **Guidelines for Writing Research Proposal for Confirming Doctoral Programme Registration**

### **i) Introduction**

In this part, importance of proposed topic of research shall be given. Introduction may be written by presenting scientific facts, statistical information from authentic sources such as research papers from peer reviewed journals, authentic reports published by various organizations like World Health Organization (WHO), United Nations (UN), Ministry of New and Renewable Energy Sources (MNRE) or similar. You may use the information available on web-sites of various ministries of Government of India (GoI) by giving proper reference. Typical introduction can be four paragraphs long.

It is expected that; the research proposal meets the highest standards of academic writing. The research proposal shall have following components.

- a) Introduction
- b) Review of Literature
- c) Research Gaps
- d) Research Questions
- e) Statement of the Problem
- f) Objectives of the Study
- g) Scope and Limitations
- h) Hypotheses (if applicable)
- i) Methodology, tools and techniques
- j) Schedule of proposed work.
- k) References

A typical research proposal shall be 15-25 pages long. The introduction being 1-2 pages long, literature review of 3-4 pages, clear research methodology 2- 3 pages long. Rest of the components may be presented in using two paragraphs each. The list of references (20-30 in numbers) may be spread over 2- 3 pages.

Do not forget page numbering. However, there is no need to give any tables of contents, list of figures, tables, list of abbreviations. There is no need of breaking the proposal into chapters. Since the research work is yet to commence, giving probable chapters of the thesis at this stage is not required. The Students are supposed to submit five copies of spiral bound copies of the proposal duly signed by the supervisor.

Ensure that the format of top cover is strictly followed. The name of Student shall be as per the post graduate degree certificate and as per the records of Symbiosis. Name of married female candidate can be different from post graduate degree certificate in case she has given marriage certificate/gazette declaration of change of name.

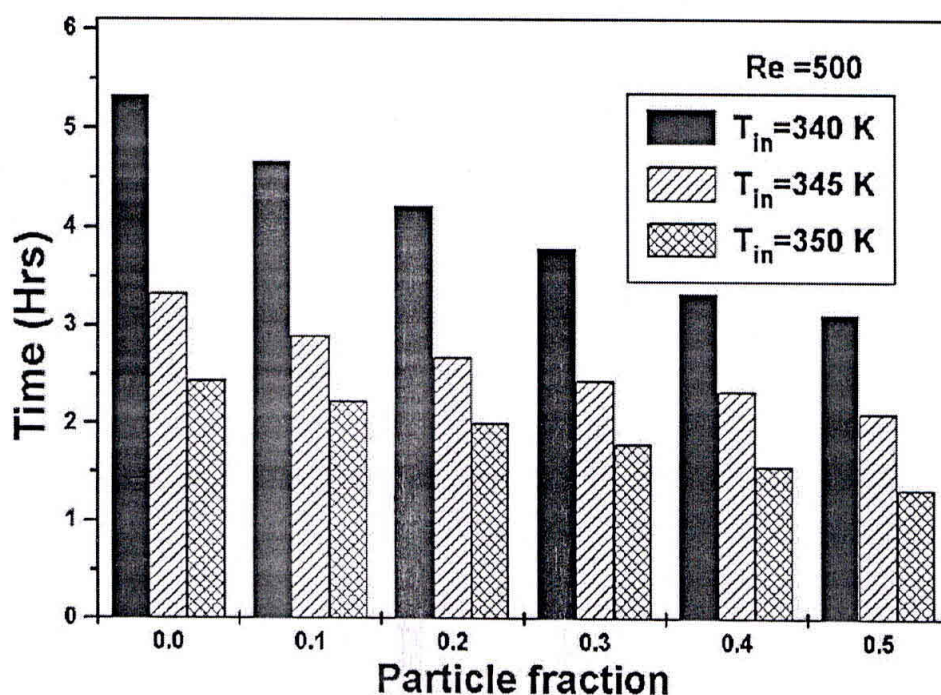
### **Background/Rationale**

Rationale or background of work is a sub-heading in the introduction. The Student is expected to build up a logical argument in this section of the research proposal. The paragraph below is giving rationale for writing a research proposal.



The purpose of writing a research proposal is to communicate your ideas of proposed research before the Research Advisory Committee (RAC) for seeking its approval. The committee will assess the need of research, originality of your ideas, your skills in critical thinking and the feasibility of the proposed research. Hence the proposal submitted should have sufficient information about the latest happenings in the area of research, its importance and the background. The proposal should convince the reader that, you have a good grasp of the relevant literature, you are aware of the major issues to be addressed and methodology is sound.

The Student shall use figures, tables to describe the facts and figures. The table captions are to be given on top of table and figure captions at the bottom of figures. Ensure consistency of writing captions. Further, no data shall be repeated both in table and figures. Use either table or figure to present the facts and figures. All the photographs, maps, excel plots are referred to as figures. The tables and figures must be referred to in the text of the proposal. Any table, figure adopted from other papers must have source mentioned below the table/ figure. Please refer to Fig 1 for citing a figure caption with a source. The source is written on left side of figure/ table with a reduced font size.



(Source: Jegadheeswaran & Pohekar, 2003)

**Fig. 1. Effect of Inlet Temperature on Melting Time for Particle Fractions**

Also write the inference you wish to draw from the above figure in 3-4 lines. The Students are advised to avoid writing any direct information available in text books/ reference books, websites, reports, unless analyses of the same is written and argument is built up based on the same. In summary, use the information for building up the argument rather than merely increasing the length of your proposal.

Please refer to Table 1 for representing a tabulated data. Also ensure that for all long tables repeat the heading rows if the tables are spread over more than 1 page. Tables without proper headings may not be conveying the information properly. At times, the researchers may be tempted to present heterogeneous information in a single table, which do not serve the purpose of presenting tabulated information. The tables shall be using single spacing between the lines.



**Table 1 Thermo physical Properties of PCM (RT58) and Copper**

Properties	Phase Change Material	Copper
Melting temperature (°C)	55-59	-
Latent heat of fusion (J/kg)	178000	-
Thermal conductivity (W/m.K)	0.2	400
Density (kg/m <sup>3</sup> )	910(solid), 777 (liquid)	8954
Specific heat (J/kg.K)	2100	383
Dynamic viscosity (kg/m.s)	0.0273	-

(Source: Jegadheeswaran & Pohekar, 2003)

It may also be noted that, the researchers write the units by following SI units and there are no mistakes while typing the units. Do not forget to put zero before the decimals.

## ii) Review of Literature

This section is prepared after the candidate has studied the contemporary literature and researches done in the same area as available from current research journals, published reports of the organizations, issues needing research and enquiry in any area of activity of the organization, etc. It is expected that a broad summary of the present status of work and unresolved academic issues in the area are highlighted while giving the background of the proposed research. To identify the research gap, the candidate should refer peer-reviewed journal latest articles from last 4-5 years. It is expected to divide the literature survey in sections and subsections. A comprehensive literature survey is helpful to gain an impression about the important aspects of the topic, identify data sources that other researchers have used, become familiar with the style of writing, identify ideas for further consideration, and identify what questions need to be asked.

It is also important to cite sources you used in your research proposal for several reasons. It convinces the reader that you have done proper research by listing sources you used to get your information. A researcher becomes responsible Student by giving credit to other researchers and acknowledging their ideas. Citing references in the body of text also helps in avoiding plagiarism by quoting words and ideas used by other authors. The reader can also track down the sources you used by citing them accurately in your paper by way of footnotes, or a reference list.

You must cite facts, figures, ideas, discussions or inferences drawn by another researchers used in other publications or other information that is not common knowledge. Publications that must be cited include: peer reviewed research articles, books, book chapters, web pages, theses, etc. Preference should be given to citing articles from peer reviewed journals. Proper credit shall be given to the original contributors by citing them. When in doubt, be safe and cite your source!

It is important (morally & legally) to acknowledge someone else's ideas or words you have used. Academic writing encourages paraphrasing information you have researched and read. Paraphrasing means re-wording something you have read in to your own words. If you use someone else's words or work and fail to acknowledge them – you may be accused of plagiarism and infringing copyright.



Symbiosis Centre for Research Innovation (SCRI) gives flexibility to the research Student to use any style of referencing prevailing in the discipline of the Student. However, the chosen style must be followed consistently.

The Students are suggested to use American Psychological Association (APA) style of referencing for citing and listing of references for its simplicity and worldwide acceptance. Please ensure that everything you have cited in text appears in your reference list given at the end of the proposal. Also, everything that appears in your reference list will have been cited in text. Thus ensuring 100 % matching is called referencing. If the list of references includes additional material not cited in the text, then the same is referred to as Bibliography. A research proposal should have referencing and not bibliography.

It is the responsibility of the Student to follow and prove that he/she has followed a particular style of referencing consistently. The supervisors should ensure that the research proposal meets the standards of referencing prevailing in their discipline of studies.

Following are a few examples of citing references in the body of the text.

1. Multi-criteria decision making is becoming popular in for energy projects (Pohekar, 2004). This style is to be used to cite a paper written by a single author.
2. Water is a necessary part of every person's diet and of all the nutrients a body needs to function, it requires more water each day than any other nutrient (Whitney & Rolfes, 2011). This style is to be used to cite two authors.
3. Deciding on a research method demands the researcher consider carefully the problem or area of investigation being researched (Watson et al., 2008). This style is to be used to cite three or more authors.
4. Resilience is seen as the ability to overcome adversary, combat stress and bounce back from hardship (Dawson, 2006; Overton, 2005). Multiple authors are to be cited by following the alphabetical order. Hence Dawson comes first.
5. "The World Technology Network (WTN) exists to "encourage serendipity" -- the happy accidents of colliding ideas and new relationships that cause the biggest breakthroughs for individuals and institutions" (WTN, 2014, para. 3). This is a typical example of citing something as it is from any reference.

The Students are requested to read the detailed APA guidelines of referencing from the following [http://student.ucol.ac.nz/library/onlineresources/documents/apa\\_supervisor\\_2015.pdf](http://student.ucol.ac.nz/library/onlineresources/documents/apa_supervisor_2015.pdf)

### iii) Research Gaps

Identifying gaps can be regarded as the first and most important step in writing a research proposal. It is also a starting point for research. A research gap also implies a lack of empirical studies (thus involving a particular context), either from a certain theoretical perspective and/or methodological approach. The research gap must be derived from a critical review and analysis of empirical studies/literature. Research Gap can be extension or challenge of the existing variable, theories and assumptions. The researcher is supposed to generate new

knowledge during his/ her doctoral studies. You may refer to Table 2 which highlights the requirements of originality at various levels of study.

**Table 2 Rethinking Originality**

Degree Level	Approach	Academic Goal
Undergraduate	Reproductive	Correctness of information presented (with an element of analysis)
Masters or Postgraduate Diploma	Analytical	'Simple originality' which may include reshaping material or considering information in other ways
Doctorate	Speculative	'Creative originality' news

(Source: Philips & Pugh, 1994)

Thus, a researcher is supposed to identify a suitable gap and carry out the research which fulfils the criteria of addition of new knowledge by their own contributions. The contributions shall be made in terms of new theories which get published in the form peer reviewed papers in the indexed journals. The contributions can also be in terms of patents, new products useful for the society at large.

#### iv) Research Questions

Once a broader subject research is identified and preliminary research is done on the topic a researcher is expected to do thorough literature survey. The next logical step is to narrow the topic by asking Open-ended "how" and "why" questions. A researcher is expected to create a list of potential questions for consideration and choose best 4-5 those which interests you and provides an opportunity for Further exploration. Evaluate the questions by using the following guidelines.

- Is the research question one that is of interest to the researcher and potentially to others?
- Is the research question researchable in terms of time frame and resources?
- Is the methodology to conduct the research feasible?
- Is the research question measurable and will the process produce data that can be supported or contradicted?
- Is the research question too broad or too narrow?

#### v) Statement of the Problem

The statement of the problem must align with the topic of research, clearly indicating what is to be investigated. The statement need not be lengthy, but a good research problem should incorporate compelling topic, multiple perspectives and its research ability. The ultimate goal of a statement of the problem is to transform a generalized problem (something that bothers you; a perceived lack) into a targeted, well-defined problem; one that can be resolved through focused research and careful decision- making.

The statement of a problem can be described in about 5-10 lines logically broken in paragraphs, if needed.



## vi) Objectives of the Study

The overall purpose of research shall be divided into achievable goals and referred to as objectives. Objectives should be given as a numbered list usually indicating 4-5 objectives. The objectives are supposed to use strong words such as –investigate, synthesize, develop, devise, construct, measure, produce, revise, and avoid weak words such as appreciate, consider, enquire, learn, know, understand, appreciate, listen, perceive. The objective shall be logically organized and begin with the word “To”. The researchers are expected to ensure that the objectives are Specific, Measurable, Achievable, Realistic and Time constrained (SMART).

The Students are warned not to mix objectives and methodology or any justification of the identified objectives.

## vii) Scope and Limitations

Scope of research defines extent of content/ boundaries of research that will be covered by the proposed research in order to come to more logical conclusions and give conclusive and satisfactory answers to the research. The scope has to be defined at the beginning to nullify the ambiguity about the research goals. If the researcher fails to define the scope at the initial stage itself it is indicative that the research would eventually not meet the expectations

Limitations are meant to inform the reader about situations which are restricting your methods and analyses of research. Some situations may not be under the control of researchers. There may be certain shortcomings/restrictions posed by the methodology. Any limitations that might influence the results should be mentioned. Limitations may be posed due to analysis techniques, instrumentation, sample size, time constraints.

## viii) Research Hypotheses (if applicable)

Research hypothesis is important in all the research endeavours, whether qualitative or quantitative, exploratory or explanatory. A research study may have one or many hypotheses. A researcher should give both hypothesis and null hypothesis. It may please be noted that null hypothesis is not opposite of research hypothesis. The question that is being answered statistically is "If these samples came from the same population with regard to the outcome, how likely is the obtained result?"

## ix) Methodology, Tools and Techniques

This section is meant for providing detailed description of the methodology to be adopted for the proposed research work. A detailed description of two pages describing the actions to be taken for meeting the proposed objectives is essential. The rationale for application of specific procedure and techniques for identify, select, process and analyse the information is essential. The researcher should describe experimental set up/ instruments to be used for data collection. A detailed description of data analysis techniques shall also be provided. Please provide a clear rationale for choice of the research methodology. Also discuss the alternative methods proving the superiority of your chosen method. Discuss the methods of sampling. A tabulated



information providing objectives, hypothesis and data requirement may be useful to the researcher. A clear list of assumptions shall also be provided.

You may describe the software tool to be used for research. However, merely running a software Programme may not be sufficient and hence the underlying theory of the software Programme shall be given.

#### x) Precautionary Principle

The purpose of this section is to take the attention of the Ph.D. student and the Supervisor(s) to the uncertainties involved with the possible effect of the research outcome. This section is introduced to address the uncertainties related to the effect of research outcome in the domain or adjacent areas, especially, in the context of human and environment, where in general, effects are substantial and irreversible. We wish to make it clear that our aim is not to regulate the research work but to sensitize the researchers about the possible uncertainties that might be harmful to the humanity and environment. At first, the student and Supervisor have to deliberate on the possibility of harmful and irreversible effect of the research outcome and later the members of Research Advisory Committee have to address that in detail so that the expert consensus can be developed and lead to further refinement of the research proposal. The University believes that such deliberation will help in developing responsible researchers through doctoral work.

This section must address the uncertainty of the effect of research outcome in the context of human and environment, especially, evaluating whether the effects are substantial and irreversible. Uncertainty is created by the imperfect or unknown information. It must be noted that the uncertainty in research is not only caused by the lack of data or insufficient risk assessment, but also by the indeterminacy, ambiguity or ignorance.

- a) Indeterminacy emerges from the fact that all the factors causing a phenomenon are not known to researchers and so, a potential harm may remain undetermined.
- b) Ambiguity is about having contradiction in possibilities due to insufficient information
- c) While ignorance reflects the fact that we do not know what we do not know.

Considering the complexity associated with the lack of data, indeterminacy, ambiguity and ignorance, the process of taking precaution must be addressed right from the doctoral research proposal. The proposal must communicate the result of the deliberation between the student and Supervisor on the following:

- a) The cause and extent of scientific uncertainty at every stage of the research process. This could be in the context of imperfect or unknown information, indeterminacy, ambiguity and ignorance.
- b) Identification and evaluation of the approaches for managing the identified scientific uncertainty.  
The evaluation may lead to the range from “no precaution” to “highest precaution”.
- c) Clarity on the expected outcome of the research and on the harmfulness and irreversibility of the identified outcome.

Aforesaid three aspects of dealing with uncertainty must be balanced, non-discriminatory and consistent. A provisional but objective cost-benefit analysis in terms of the contribution to



discipline, humanity and environment must be added to the end of the section. The section must be improvised whenever new scientific information from the research or outside world is received and be reviewed at every checkpoint and milestone of the doctoral research process. If the researchers believe that there is no uncertainty leading to the harmful effect of the research outcome, they can mention so in this section. However, it is better to document that at the stage of research proposal, no harmful effect of the research outcome could be seen.

### xi) Schedule of Proposed Work

This section is meant for providing the schedule /timeline of the proposed work. The proposed investigations shall be divided into several phases starting from literature survey and concluding by thesis writing and submission. Normally the literature survey is continuous. The researcher shall provide a realistic timeframe of the study ranging from 6 semesters to 8 semesters. The schedule shall be given in the form of a tabulation indicated below. Alternatively, the same can be given by diagram showing phases vs semesters.

The research should not mix up the time frame of investigations with time frame of writing chapters. Do not include coursework in the schedule of work. The timeframe starts from approval of the research proposal.

**Table 3. Schedule of Proposed Research Work**

Phase	Description	Time Frame
I	Literature survey	Continuous
II	Developing experimental set up/ Pilot study	MM-YY to MM-YY
III	Actual experimentation/ Data collection	MM-YY to MM-YY
IV	Predictions by CFD/ Data analyses	MM-YY to MM-YY
V	Predictions by ANN/Data analyses	MM-YY to MM-YY
V	Development of final model	MM-YY to MM-YY
VI	Thesis writing and submission	MM-YY to MM-YY

The researcher should plan for minimum period of four semesters from date of confirmation in the doctoral program. An average of six semesters schedule is acceptable.

### xii) References

The reference list shows the complete details of everything you cited and appears in an alphabetical list on a separate page, at the end of your proposal. Kindly note the following while listing the references

1. Provide the list of all cited references and not the bibliography.
2. Your reference list should identify references cited in sufficient detail so that others may locate and consult your references.
3. You may follow the prevailing style of referencing in your discipline of study. However, APA style of referencing is suggested due to its simplicity and wide acceptability.
4. The students of Faculty of Law may use Harvard Bluebook style if suitable to them. It is important to be consistent when you are citing and listing references.

5. References should contain all the necessary parts, like names of the authors, year of publication, volume, issue, terminal page numbers. No part should be missing.
6. Punctuation marks and spaces within the references are very important. Do not segregate the references by the type of references used.

Following are indicative examples of references as per APA style.

Aspinall, V. (Ed.). (2014). *Clinical Procedures in Veterinary Nursing* (3rd Ed.). Edinburgh, Scotland: Elsevier.

Collier, A. (2008). *The World of Tourism and Travel*. Rosedale, New Zealand: Pearson Education New Zealand.

Jegadheeswaran S and Pohekar SD, (2010). Energy based performance evaluation of latent heat thermal storage system. *Renewable and Sustainable Energy Reviews*, 14(6), 2580-2595.

Health and Safety in Employment Act 1992. (2013, December 16). Retrieved from <http://www.legislation.govt.nz>

Johnson, S. (2013). *Style strategies* (Master's thesis). UCOL, Whanganui School of Design, Whanganui, New Zealand.

Matthews, L. (2011, November 23). Foodbanks urge public to give generously. *Business Standard*, p. 4.

Mid Central District Health Board. (2008). *District annual plan 2008/09*. Palmerston North, New Zealand: Author.

Ministry of Health. (2014). *Ebola: Information for the public*. (2015, December 17) Retrieved from <http://www.health.govt.nz/your-health/conditions-and-treatments/diseases-and-illnesses/ebola-information-public>

Palmer, F. (2007). *Treaty principles and Maori sport: Contemporary issues*. In C. Collins & S. Jackson (Eds.), *Sport in Aotearoa/New Zealand Society* (2nd ed., pp. 307-334). South Melbourne, Australia: Thomson.

UBM Medica. (2010). *iMIMS (Version1.2.0) [Mobile application software]*. Retrieved from <http://itunes.apple.com>

Williams, J., & Seary, K. (2010). *Bridging the divide: Scaffolding the learning experiences of the mature age student*. In J. Terrell (Ed.), *Making the links: Learning, teaching and high-quality student outcomes*. Proceedings of the 9th Conference of the New Zealand Association of Bridging Educators (pp. 104-116). Wellington, New Zealand.





**xiii) Checklist to be signed by the Student and the Supervisor**

Sr. No.	Description	Yes	No
1.	The title is in Title Case		
2.	The top cover is adhering to the format given		
3.	The student has written his/ her name as per SCRI records		
4.	The PRN is correct as per SCRI records		
5.	The certificate is signed by student and the supervisor/ co-supervisor if applicable		
6.	The proposal is written covering all the required headings		
7.	Figure captions are at the bottom of figures		
8.	Table captions are at the top of tables		
9.	The student has given references and not the bibliography		
10.	All references are cited in the text		
11.	All cited references in the text are listed at the back		
12.	The listed references are adequate (15-40 references)		
13.	The student has given page numbers starting from introduction		
14.	The title and research objectives are matching		
15.	The research proposal is 15-25 pages long		
16.	Acronyms are defined when they appear for first time in the text		
17.	The introduction is appropriately addressing the topic		
18.	The background builds up a good argument for research		
19.	The need for doing research is clearly spelt out		
20.	The literature review contains authentic references from peer reviewed journals		
21.	The literature review does not cite too old references unless classical		
22.	The research gap is identified clearly		
23.	The research questions are appropriate		
24.	The objectives are clear and are written point wise		
25.	The hypothesis and null hypothesis are provided (if applicable)		
26.	The research methodology is given in detail (Min 2 pages)		
27.	The reason for choosing a particular research method is mentioned in the proposal		
28.	The research aims at addition of new knowledge		
29.	The timeframe is appropriate for the work		
30.	The document is free from spelling errors & grammatical errors.		

Signed by Research Supervisor with  
**Name and Designation**

Signed by Research Student  
**Name of the Student**



*NSI*

## SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

## Ph.D. PROGRAMME-SEMESTER REGISTRATION FORM

Date: -

• Name	PRN:
• Name of the Faculty	
• Year of Provisional Admission	
• Date of Registration	
• Topic of Ph.D. work	
• Research Supervisor(s)	
• Registration in Semester I/II	Year

*Signature*

- Name of Research Student: .....
- Payment of Dues: .....
- Fee receipt No: ..... Date: .....
- Certified that no dues are pending against the Research Student

*Authorized Signatory*

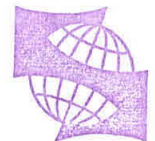
- 
- Name of Research Supervisor: .....
  - Signature:
- 

Confirmation of Registration in the semester

**Registration is confirmed / not confirmed**

- Dean of Faculty
- Head, Research Programmes / SCRI

Date:



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SIU



## SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

## HALF YEARLY PROGRESS REPORT

Semester I/II, Year \_\_\_\_\_

• Name of the Research Student	PRN
• Name of the Faculty	
• Topic of Ph.D. work	
• Name of the Institution where research is being conducted	
• Date of Provisional Admission to the Ph.D. Programme	
• Date of Registration (Confirmation) *	
• Research Supervisor(s) name(s)	

- **Progress Against Planned Work**

Semester/ Half-year after Registration	Duration		Planned Work	Actual Work
	From	To		
1.				
2.				
3.				
4.				
5.				
6.				

- Brief Description of work done.

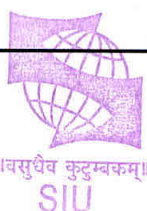
Details of Publication (will not be included for the award of degree, if not submitted by the Student)

No	Title of the Paper	Journal/ Conferences	Volume & No/Venue & Dates	Page No.	Copy attached (Yes/ No)

Difficulties Encountered:

Signature of the Research Student

Date:



- **Recommendations of Research Supervisor (s)**

Certified that the performance of the Research Student is: Satisfactory/Not Satisfactory

- **Research Supervisor Signature (Also attach a separate report from IRC)**

- **Comments**
- 

- **Dean of the Faculty**

**Date:**

- **Head, Research Programmes /SCRI**



*MSL*



## Milestones Overview for Ph.D. Candidates and Supervisors

Milestone	Requirements	Tentative Timing
Milestone 1: <b>Confirmation of Registration End of Year 1 (after completing coursework)</b>	<p>Presentation of Research Proposal to the Research Advisory Committee.</p> <p><b>Expectation:</b> Research Proposal document of 3500-5000 words, including the timeline for the activities. For achieving the quality, the supervisor and the student may consider to discuss the proposal with the experts in the discipline outside the advisory committee before submitting that to SCRI.</p> <p>In addition to the proposal, a Sample Chapter of approx. 10,000 words is also desired.</p> <p><b>Outcome:</b> A viable research plan and a thesis chapter are complete.</p>	9–12 months after commencement
<p><b>Other Requirements:</b> Before the oral presentation of research, students must pass the course work. In the first 15 minutes Ph.D. students present their proposal to the academic community for the Confirmation of Registration. After 10 min Q&amp;A, the broader audience exits and the milestone meeting continues.</p>		
<b>Intermediate Milestone</b>	<p>Between Confirmation of Registration and Mid Term Review, Ph.D. students are required to make six-monthly presentations to Research Advisory Committee on their work.</p> <p><b>Expectation:</b> Present their work to an appropriate group of disciplinary peers (e.g., conference paper, reading of creative work) and submit a piece of written work (see below) for feedback beyond the advisory team (e.g., referees' reports on submission of work to a journal / conference publication).</p> <p>Written progress in Thesis Chapters – an additional Sample Chapter of approx. 10,000 words (e. g, Introduction, Literature Review, Theoretical Frameworks etc.) or a journal article/conference paper/equivalent.</p>	6 months after Confirmation of Registration



Milestone	Requirements	Tentative Timing
Milestone 2: <b>Mid-Review (MR) End of Year 2/3</b>	<p>Information submitted at least two weeks prior to meeting for review by RAC. Evidence of six-monthly oral presentation of research to RAC members of SIU.</p> <p><b>Expectation:</b> More than 50% of work is completed that may include data collection and preliminary analysis of data. Chapters on the research activities performed are written.</p> <p>In addition, submit evidence that, post-proposal, feedback on written work has been received from experts outside the advisory team (e.g. reviewers' comments on work submitted to Scopus indexed journals).</p> <p><b>Outcome:</b> 50% of thesis complete (e. g., Introduction, Literature Review, Theoretical Frameworks and/or Methods). At least one paper published/ accepted based on literature review, preliminary research work</p>	12 – 24 months after Confirmation of Registration
<b>Intermediate Milestone</b>	<p>Between MR and Thesis Review, Ph.D. students are required to make six-monthly presentations to RAC on their work.</p> <p><b>Expectation:</b> Present their work to an appropriate group of disciplinary peers (e.g., conference paper, reading of creative work) and submit a piece of written work (see below) for feedback beyond the advisory team (e.g., referees' reports on submission of work to a journal / conference publication).</p> <p>Written progress in Thesis Chapters – an additional Sample Chapter of approx. 10,000 words (e. g, Introduction, Literature Review, Theoretical Frameworks, Methods, and Results etc.) or a journal article/conference paper/equivalent.</p>	6 months after MR
Milestone 3: <b>Thesis Review End of Year 3 (Pre-Submission)</b>	<p>Information submitted two weeks prior to the meeting for review. Between MR and TR, Ph.D. students are required to deliver an oral presentation of their work to the Faculty in the form of a completion seminar.</p> <p><b>Expectation:</b> Full thesis ready for final submission</p> <p><b>Outcome:</b> At least two paper published/ accepted based on the research work.</p>	12-24 months after MR/ 3 months before thesis submission.



**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)  
APPLICATION FOR CHANGE OF RESEARCH SUPERVISOR**

Date \_\_\_\_\_

• Name of the student:	
• PRN	
• Name of the Faculty (Law/ Mgmt. etc.)	
• Date of Provisional Admission to the Ph.D. Programme	
• Date of Registration	
• Topic of Ph.D. work	
• Research Supervisor(s)	
1.	
2.	
Name of the present Research Supervisor	
Name of proposed Research Supervisor	
Requisite fee has been received Yes/No	
	Signed by SIU Finance
Is the proposed Research Supervisor an Approved?	Yes/No
Supervisor of SIU	
Need/ reason for change:	
Signature of the Student	

• Consent of existing and proposed Research Supervisors:

• Present Research Supervisor \_\_\_\_\_ Proposed Research Supervisor \_\_\_\_\_

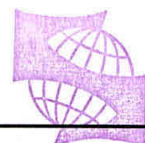
• Recommendation by the Dean of the Faculty

**Approved / Not Approved**

• Dean of Faculty \_\_\_\_\_ Date: \_\_\_\_\_

• Approval by Vice Chancellor

• Vice Chancellor \_\_\_\_\_ Date: \_\_\_\_\_



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SIU

*MSI*

Appendix 11.5

**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**

**APPLICATION FOR CHANGE OF UNIVERSITY FROM SYMBIOSIS  
INTERNATIONAL (DEEMED UNIVERSITY) TO OTHER UNIVERSITY**

Date:

Name:	
PRN	
Name of the Faculty	
Date of Provisional Admission to the Ph.D. Programme	
Date of Registration	
Topic of Ph.D. work	
Name of the Research Supervisor	
Has the coursework been completed successfully? Yes/No? Give documentary proof	
The work done till time is less than the half of the Required work for the Ph.D. topic?	
Proposed University	
Need/ reason for change:	
Signature of the Student	
Requisite fee has been received      Yes/No      Signed by SIU Finance	

- Consent of Research Supervisor: (Co-supervisor if applicable):
- Research Supervisor Signature

- 
- Recommendation by the Dean of the Faculty

**Approved / Not Approved**

- Dean of Faculty Date:

- 
- Approval by Vice Chancellor

- Vice Chancellor Date:



## SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

## APPLICATION FOR CHANGE OF UNIVERSITY FROM OTHER UNIVERSITY TO SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

Date:

• Name of the Aspirant	
• Name of the Faculty	
• Source University	
• The Student's research proposal for Ph.D. has been approved • By the statutory body of the source University? Yes/No? Give Documentary Proof	
• The source University has followed the Ph.D. Admission Process and Ph.D. course work as per the Regulations, • 2016 Regulations? Yes/No?	
• Less than half of the research work required for the Ph.D. Has been finished? Yes/No?	
• There is a Supervisor recognized by SIU is available and Has vacancy. Yes/No?	
5. Need/ reason for change (Please attach all documents supporting the reason)	
Aspirant Signature	

• **Recommendation by the Research Supervisor**

6. Name, Designation and Address of Research Supervisor:

7. Signature of Research Supervisor:

Contact Number:

Date:

8. Email:

Place:

## • Recommendation by the Dean of the Faculty

The research topic is suitable to the SIU's research agenda? Yes/No?

**Approved / Not Approved**

• Dean of Faculty

Date:

• Approval by Vice Chancellor

• Vice Chancellor

Date:



**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)  
APPLICATION FOR CHANGE OF TYPE OF Ph.D. ADMISSION**

Date:

Name:	
PRN	
Name of the Faculty	
Date of Provisional Admission to the Ph.D. Programme	
Date of Registration	
Topic of Ph.D. work	
Name of the Research Supervisor	
Current Type of the Admission	
Proposed Type of the Admission	
The computed time for the proposed type of admission	
Requisite fee has been received      Yes/No	Signed by SIU Finance
Need/ reason for change:	
Signature of the Student	

- Consent of Research Supervisor:

1. Research Supervisor Signature

---

- Recommendation by the Dean of the Faculty

• **Approved / Not Approved**

- Dean of Faculty

-Date

- Approval by the Vice Chancellor
- 

- Vice Chancellor

Date





**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)  
APPLICATION FOR DISCONTINUATION AS Ph.D. STUDENT**

Name: -	PRN: -	
Faculty of: -	Date of provisional Admission to the Ph.D. Programme; -	
Date of Confirmation of Registration: -	Topic of the Research work: -	
Progress Done so far: -		
Reason for Discontinuation: -		
Details of Research paper/s published: - (Kindly attach proof)		
Research Supervisor, Name and Signature: -	Research Co-Supervisor, if any, Name and Signature: -	Student signature
Signature of the Dean of the faculty with seal: -	Has the student cleared all the dues?  Signed by SIU Finance	

Date: - \_\_\_\_\_

Fwd. To the Head, Research Programmes/SCRI for further action please.

Remarks of Head Research Programmes / SCRI: -

Signature: - \_\_\_\_\_



**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)  
GUIDELINES FOR PREPARATION AND SUBMISSION OF THESIS**

**STRUCTURE OF WRITING THESIS**

The Research Work can be written in the following parts:

- Title Page
- Inside Cover Page
- Thesis Certificate (Annexure 9.3)
- Executive Summary (2 Pages)
- Acknowledgements
- Table of Contents
- List of Figures, Tables or Illustrations
- List of Abbreviations
- Structure of the Thesis (Tentative Chapter Scheme)
- References
- Appendices
- Glossary
- Hard copies of publications during Ph.D.
- Similarity Index/Plagiarism report

(Note: Research Students should consult the Dean and the Research Supervisor as to whether any other discipline- specific components need to be included and if so where.)

**Layout and Appearance**

- (i) The thesis should be printed on white A4 paper in Times New Roman, 12pt and the color scheme for the cover page should be as per Annexure 9.4. The Thesis may be printed on both side of the paper. Lines pacing in the abstract and the text of should be 1.5. Single spacing should be used in long tables, block quotations separated from the text, footnotes and bibliographical entries. Paragraphs should not be indented. One-line space be left between paragraphs.
- (ii) Margins should be one inch or 2.5cm on all sides, and page size should be set to A4. Pages should be numbered at the bottom in the Centre, using Arabic numerals (1, 2, 3) starting with the first page of the Thesis (i.e. the first page of the Introduction). Pages prior to this should be numbered with lowercase Roman numerals (i, ii, iii).
- (iii) Chapters should start on a new page, but sections and sub sections should not.
- (iv) Referencing style as recommended by respective Dean of Faculty.

**Title Page**

The title page should provide the following information in the following order/the full title of the Thesis the Faculty and Name of the University/ Research Students Name

*The Research Supervisor's Name*

The Place of submission (Pune)

The Year of Submission (Copy is attached as Appendix 9.2)

**Inside cover page same as the title page.**

**Executive Summary**

An Executive Summary is a short document that summarizes a longer report in such a way that readers can rapidly become acquainted with a large body of material without having to read it all. It usually contains a brief statement of the problem covered in the major document(s),





background information, concise analysis and main conclusions. It is intended as main reflection and has been described as possibly the most important part of the report.

### **Acknowledgements**

This page will acknowledge individuals who provided the Student with any assistance in the preparation of the Thesis. This would include individuals/organizations in addition to the research Supervisor.

### **Table of Contents**

The Thesis must have a table of contents page listing chapter headings, section headings and sub headings, appendices and references as well as their corresponding page number.

### **List of Figures, Tables or Illustrations**

If appropriate, a separate list of figures, tables, or illustrations should be included on a separate page immediately following the Table of Contents.

### **List of Abbreviations**

If these are makes use of a large number of abbreviations that may be unfamiliar to a reader, providing a list of them can act as a useful Supervisor.

### **References and Bibliography**

References of all authors whose material or research work is referred or contained in the Thesis must be written in this section using a standard format as per the specific Faculty guidelines. **Bibliography is optional.**



## FORMAT OF THE THESIS COVER PAGE

**Approved Title of the Thesis in Title Case**  
<Font Size 16><bold>

**Thesis Submitted to Symbiosis International (Deemed University)**  
*For award of the degree of*  
<Font Size 12><bold><italic>

**DOCTOR OF PHILOSOPHY**  
<Font Size 14><bold>

**(Faculty of )**  
<Font Size 12><bold>

**NAME OF THE RESEARCH STUDENT\***  
<Font Size 16><bold>

**Under the Guidance of**  
<Font Size 12><bold>

**Name of the Supervisor**  
<Font Size 14><bold>

**Designation of Research Supervisor**  
<Font Size 14><bold>

**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY) Pune-412115**  
<Font Size 12><bold>

**YEAR**

\*- (without any title like Mr. Mrs. Ms.)

### SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY) COLOUR SCHEME FOR COVER OF THESIS

The cover page of thesis should be black with golden print in all faculties





SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

THESIS CERTIFICATE

- a) The Thesis entitled \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ submitted to the Symbiosis International (Deemed University), Pune for the award of Ph.D. Degree under the Faculty of \_\_\_\_\_ is based on my original work carried out under the guidance of \_\_\_\_\_ from \_\_\_\_\_ to \_\_\_\_\_.
- b) The Research Work has not been submitted elsewhere for award of any degree.
- c) The material borrowed from another source and incorporated in the Thesis has been duly acknowledged and/or referenced.
- d) I understand that I would be held responsible and accountable for plagiarism, if any, detected later on.
- e) Research papers published based on the research conducted out of and in the course of the study leading to Ph.D. are duly credited to SIU and appended to the thesis and has not formed the basis for the award of any degree, diploma, associate ship, fellowship, titles in this or any other University or other institution of Higher learning.

Date: \_\_\_\_\_

**Signature of Research Student**

**Name:**

**PRN:**

**Counter signed by Research Supervisor(s)**

**Name (s):**

**Designation(s):**



*Handwritten signature in blue ink.*

## SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

## THESIS SUBMISSION FORM

-Date:

Name of the student	PRN:
Name of the Faculty	
Date of Registration	
Topic for Ph.D. Research	
Name of the Research Supervisor	

I hereby submit three hard bound copies of the Thesis and a soft copy containing the PDF format of the Thesis.

Dated

Signature of Research Student Recommendation by the Research Supervisor

(i) Research Supervisor

(ii) Designation with full contact details

## For office Use only

Requisite fee has been received	Yes/No
Half-yearly progress reports are satisfactory	Yes/No
The Thesis is in prescribed format	Yes/No
Has the committee recommended the submission of Thesis?	Yes/No
The Proof of publication acceptance of one research papers in Referred journals has been submitted	Yes/No

Signatures of the competent authority

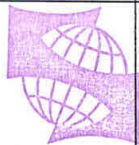
## Confirmation of Thesis Submission

- Dean of Faculty
- Head, Research Programmes / SCRI





**Symbiosis Centre for Research and Innovation, SIU, Pune**  
**Checklist for Ph.D. Thesis Submission**

<b>Student Name</b>		<b>Faculty</b>	<b>PRN</b>	
<b>Mobile No:</b>		<b>Mothers' First Name</b>		
<b>E mail ID:</b>				
<b>Supervisor</b>				
<b>C0-supervisor (s)</b>				
<b>Address</b>				
<b>Title of Thesis</b>				
<b>Sr No</b>	<b>Description</b>	<b>Status</b>	<b>Sign</b>	<b>Signed by</b>
1.	Approval of RAC to submit thesis			Head, Res Prg
2.	Chaptalization			Head, Res Prg
3.	Similarity Check (Max 10 %)			Head, Res Prg
4.	Suitable Synopsis (Max 20 pages)			Head, Res Prg
5.	Correctness of title			Admn Officer
6.	Correctness of name			Admn Officer
7.	Correctness of Certificate			Admn Officer
8.	Correctness of cover page			Admn Officer
9.	Correctness of side page			Admn Officer
10.	No pending reports			SCRI Staff
11.	Submission within deadline			SCRI Staff
12.	No dues of fees			Finance
13.	No dues of library			Library
14.	Thesis sub form signed by Sup			SCRI Staff
15.	Thesis sub form signed by Dean			SCRI Staff
16.	2 hard copies of Synopsis			SCRI Staff
17.	3 hard copies of thesis			SCRI Staff
18.	Sign on plagiarism report Candidate appended to thethesis			SCRI Staff
19.	Sign on plagiarism report Supervisor appended to thethesis			SCRI Staff
20.	Soft copy in USB/ Pen drive as per the format given			SCRI Staff
<b>Signed by Supervisor</b>		 <b>Signed by Student</b>		

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**SIU**

**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**

**Instructions for submitting soft copy of thesis, using USB/ Pendrive**

1. Soft copy must be **exact replica** of hard copy of thesis.
  2. **Signed certificate & plagiarism** report is must.
  3. Prepare a folder with your PRN, for example 17029001010
  4. Provide keyword in .txt format
  5. Provide Photo in .jpeg format
  6. Provide rest others in .pdf formats
  7. Do not submit data in CDs/ DVDs
  8. Do not use abbreviation/ short form while naming pdf files
- 
1. Keywords.txt (Provide five KEY WORDS which can best describe your thesis (The file name should be 1.keywords.txt)
  2. Title.pdf (The file name should be 2.Title.pdf and similar syntax be used for other files)
  3. Thesis\_Certificate.pdf
  4. Executive\_Summary.pdf
  5. Acknowledgement.pdf
  6. Table\_of\_Contents.pdf
  7. List of Nomenclature/ Abbreviations and Acronyms.pdf
  8. List\_of\_Figures.pdf
  9. List\_of\_Tables.pdf
  10. Chapter 1.Introduction.pdf
  11. Chapter 2\_Literature\_review.pdf
  12. Chapter 3\_Study\_Area.pdf
  13. Chapter 4\_Materials\_Methods.pdf
  14. Chapter 5\_Results\_and\_Discussions.pdf
  15. Chapter 6\_Conclusion.pdf  
(\* If required additional chapters may be added in same order as per the thesis)
  16. References/ Bibliography.pdf
  17. Title + Summary / Conclusion.pdf
  18. Publications.pdf (List & all publications as one PDF file)
  19. Similarity Report.pdf
  20. Annexures (All annexures as one PDF file) 21. Photo\_12039001003.jpg
  22. Synopsis.pdf
  23. Full Thesis.pdf (Start from title page to last page of thesis)



## SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

## APPLICATION FOR SEEKING EXTENSION TO SUBMIT Ph.D. THESIS

Date:

Name	PRN
Name of the Faculty	
Date of Provisional Admission to the Ph.D. Programme	
Date of Completion of Course Work	
Date of Registration	
Date of Approval of Synopsis of the Thesis	
Due Date for submission of Ph.D. Thesis	
Has any Extension been approved earlier	Yes/No
If Yes, up to what date:	
Extension required up to	
Reason:	
Requisite fee has been received	Yes/No
	Signed by SIU Finance

Signature:

**Recommendation of the Research Supervisor**

(a) Research Supervisor

Date:

**a) Recommendation of the Dean of the Faculty**

Extension in time to submit Thesis up to \_\_\_\_\_ Maybe/ may not be given.

**Recommended/ Not Recommended**

• Dean of Faculty

Date:

• Head, Research Programmes /SCRI

Date:



**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**

**APPLICATION FOR SEEKING EXTENSION FOR SUBMISSION OF THESIS  
BEYOND THREE MONTHS FROM PRE-SUBMISSION SEMINAR**

Name	PRN
Name of the Faculty	
Date of Provisional Admission to the Ph.D. Programme	
Date of Registration	
Topic of Ph.D. Research work	
Research Supervisor(s)	1. 2.
Requisite fee has been received      Yes/No	Signed by SIU Finance

Dates of Pre-submission Seminar:

Due date for Submission of Thesis Extension required (specify) date:

Reason for seeking extension:

*Signature:*

Research Student's Name:

**Recommended/Not Recommended**

Extension up to..... maybe/may not be given

- Research Supervisor

b) Recommendation by the Dean of Faculty:

- Dean of Faculty

Date: .....

**Approved/ Not Approved**

- Head, Research Programmes /SCRI



**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**  
**Guidelines for Ethical Conduct in Research**

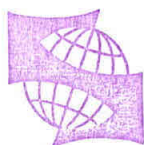
Ph.D. students have to follow the plagiarism policy of SIU stated in clause 15. The guidelines on Ethical Conduct in Research have to be followed in addition to the mentioned clause.

According to the Singapore Statement on Research Integrity ([http://www.singaporestatement.org/downloads/singapore%20statement\\_A4size.pdf](http://www.singaporestatement.org/downloads/singapore%20statement_A4size.pdf)) basic principles of ethical conduct include honesty, accountability, professional courtesy and fairness and good stewardship in all research endeavours. All the Students of SIU.

- A. Shall take responsibility for trustworthiness of their research, which can be proven by adherence to the regulations, good academic practices and honest reporting of the results obtained.
- B. Shall keep accurate records of the research work to prove the ownership, if the situation warrants.
- C. Shall acknowledge the contribution of funding support, those who have made significant contribution to the research and the publications used while conducting the research.

Any act of misconduct / unethical practice during the research shall be viewed seriously by SIU, which may result in cancellation of Ph. D. admission. The University may revoke the doctoral degree at later date also, if a Student is proven to be involved in any unethical act. An indicative list of unethical practices is given below.

- 16 **Fabrication** comprises the creation of false data, false images, false participants, false documentation, and flawed data interpretation.
- 17 **Falsification** comprises inappropriate manipulation and/or selection of data, images and/or other contents. This includes publication in fake journals, fake co-authors, fake reviewers etc.
- 18 **Plagiarism** comprises the misappropriation or use of others' ideas, intellectual property or work (written or otherwise), without permission. It includes self-plagiarism, i.e., verbatim reuse of one's own work. Researchers are expected to comprehend and use the prior work to create new or extended piece of knowledge with due acknowledgement. Universally accepted definitions and laws can be used only if essential with proper acknowledgement of the source.
- 19 **Commercial Support**- Engaging third party in conduct of research and related documentation with / without payment.
- 20 **Misuse of Authorship**- Undisclosed duplication of publications including duplicate submission of manuscripts for publications, inappropriate authorship, false authorship to those who have not contributed to research work, denial of authorship where an author has made significant contribution to the research.
- 21 **Violation of IP rights** – Any violation of intellectual property include theft of data, algorithms, misusing others' data for own publications etc.
- 22 **Breach of Duty of Care** - Deliberately, recklessly or by gross negligence such as disclosing improperly the identity of individuals/ groups involved in research without their consent/ any other breach of confidentiality.
- 23 **Violation of Legal Requirements**- Not observing legal and reasonable ethical requirements or obligations of care for human or animal subjects, human organs or tissue used in research, or for the protection of the environment.



**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)  
FORMAT FOR PANEL OF PROPOSED EXAMINERS**

Name of the Student:

Faculty of:

Title:

S. No	Name of Examiner	Designation	Telephone No & Address	E-mail, if any
1				
2				
3				
4				
5				
6				
7				
8				
<b>Reviewers from Foreign University</b>				
1				
2				

**Note:** It is necessary for Supervisors to attach the Curriculum vitae of each examiner mention in the list as per the proforma given for the perusal of the Honourable Vice Chancellor, Symbiosis International (Deemed University)

The examiners suggested, would be actively engaged in the area of research work concerned, and also as far as possible, not be below the rank of University Professor/Scientist in the grade of professor.

Supervisors must mention the names of two reviewers from Foreign University working in the same area of the research & attach their CV's too.

The Panel must include at least 50% of the examiners from outside the State. There should be no examiner from the same organization and city as that of student.

Place .....

Date:

Signature of Research Supervisor with Designation



**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**  
**Vital Information on Suggested Examiners**

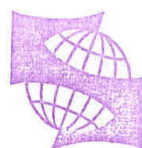
Name of the Student:

Faculty of:

Title:

<b>Name of the Proposed Examiner</b>	
<b>Scholarly Interest and Expertise</b>	<b>Broad Area:</b>  <b>Specific Area:</b>
<b>Designation and Official Address (Include PIN)</b>	
<b>E mail IDs</b>	
<b>Phone No and Mobile No's</b>	
<b>Experience (In years)</b>	<b>Academic:</b>  <b>Corporate:</b>
<b>No of Ph.D.'s Supervised</b>	
<b>No of Publications in Peer Reviewed Journals</b>	
<b>Brief write-up about the Proposed Examiner (Relevance to Topic of Research, Contributions of the Proposed Examiner etc.)</b>	
<b>Any other Information</b>	

Signature of Supervisor



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**SIU**

**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)  
DETAILED THESIS EVALUATION REPORT**

Date:

Name of the Research Student:

PRN:

Faculty of Law/ Management/ Computer Studies/ Medical and Health Sciences / Media and Communication / Humanities and Social Sciences/ / Engineering (Tick Applicable)

Title of Thesis:

Name and Affiliation of the Examiner:

**Section1**

Please give your comments on the following aspects of the Thesis:

Relevance of the Research Work carried out by the Research Student, literature review, methodology, tools & techniques used, analysis, results, discussions and conclusions and contribution of the work to the already existing body of knowledge, language and organization of the Thesis.

**Section2**

- a) Strengths of the work.
- b) Weaknesses of the work, if any.
- c) Are any major/minor modifications needed (Please specify).

**Section3**

- (a) Questions to be asked/clarifications to be sought at the time of viva-voce examination
- 1.
  - 2.
  - 3.
  - 4.

**Section 4 Final Recommendations**

- The Thesis is recommended for award of Ph.D. degree.
- Thesis accepted with minor modifications suggested at 2(c) above. The Research Supervisor can ensure that the queries are answered at the time of viva-voce. The degree is awarded.
- Major modifications suggested at 2(c). Thesis is sent to me after modifications.
- Thesis is rejected due to weaknesses at 2(b).
- Recommended for publication/Publication with modifications suggested.

**Date:**

- **Signature of the Examiners**
- **Name, Designation and Address with full contact details**





# SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)

## GUIDELINES FOR SIU-RESEARCH FELLOWSHIP

### 1. INTRODUCTION

The SIU - Junior Research Fellowship (SIU - JRF) scheme of the University is open to the candidates, who qualify the admission process that includes SIU's Ph.D. Entrance Test (PET) and Personal Interactions (PI) with Ph.D. Admission Committee of SIU. However, qualifying the admission process does not guarantee fellowship to the candidate.

### 2. OBJECTIVE

The objective of the SIU - JRF scheme is to provide opportunities to competent and qualified candidates to undertake full time advanced studies and research leading to Ph.D. degree under the University.

### 3. ELIGIBILITY

Following categories of candidates will be eligible for receiving Junior Research Fellowship from SIU:

1. Full time Ph.D. candidates who have qualified the SIU's Ph.D. admission process
2. Full time Ph.D. candidates who have been exempted from PET (because they have passed UGC
3. NET/SET/SLET/GATE/M.Phil.) But appeared for PI and qualified for Ph.D. Programme of SIU.
4. Those, who have received UGC/CSIR/ICMR DBT\*/RGNF\*/MANF\*/DST Inspire\* & NBHM\* Fellowships and have appeared for PI and qualified for Ph.D. Programme of SIU can pursue their Doctoral Research Work with SIU as Full Time Ph.D. Student along with Fellowship from the respective organizations.

### 4. NATURE OF ASSISTANCE AVAILABLE UNDER THE SCHEME

- 4.1 The tenure of fellowship is initially for one year extendable by one more year based on the performance of the fellow under the JRF scheme. In the first year, the Fellow is expected get confirmation in the Ph D programme and required to publish at least one research paper in a peer-reviewed journal, which is indexed in Scopus. Upon expiry of this period, the work of the Fellow will be evaluated by a committee consisting of the Dean of the Faculty, two subject experts and research Supervisor. On the basis of the report of the committee the tenure of the fellow shall be extended for a further a period of maximum two years under the enhanced emoluments of the Senior Research Fellowship (SRF).
- 4.2 In case the work for the first year is not found satisfactory, an additional one year will be given to him/her for improvement, if so recommended by the committee. However, during this period he/she will be designated as a Junior Research Fellow. In such cases work will be evaluated again after completion of second year. and if improvement is found, the Fellow will get one more year under the SRF. Thus, the total period of fellowship (JRF and SRF) is four years and there is no further provision of extension.



- 4.3 In case the work for the first two years is not found satisfactory, the fellowship may be discontinued.

Fellowship will be as follows

Junior Research Fellowship (JRF) @ Rs.31, 000/- p.m. (No taxes will be deducted)

Senior Research Fellowship (SRF) @ Rs.35, 000/-p.m. for remaining tenure as SRF  
Contingency @Rs.30000/- p.a.\* (Contingent expenses may include all incidental and other expenses which are incurred for research work related to the topic. i.e. purchase of books, travel expenses for research related activities, stationary etc.).

\*Subject to revision from time to time.

- 4.4 **SIU – JRF/SRF will not be employees of SIU and he/she is not entitled to Saturday Off.**
- 4.5 **He / She will not be entitled to any institutional medical insurance of the University.**
- 4.6 **The attendance of the Junior Research Fellows will be strictly maintained in a register by the Ph.D. Supervisor and in their absence due to leave or travel by the Director's office. The progress and quality of the doctoral research of a JRF/SRF is the responsibility of the Ph.D. Supervisor and will be closely monitored by SCRI.**
- 4.7 **More than one week of the absence of JRF without information should be immediately reported by the Supervisor to the concerned Dean and SCRI.**

## 5. Leave:

- 5.1 Casual leave as per the SIU norms in a year in addition to public holidays declared by SIU administration may be taken by a Fellow with the approval of the Supervisor ( 12 leaves in a calendar year)
- 5.2 The leave can be granted by the Supervisor with the concurrence of the Head of the Institute/Department. The Supervisor has to be satisfied with the progress and quality of work of the Fellow.
- 5.3 The Supervisor can allow the JRF for availing the leave only after informing SCRI about the same.
- 5.4 The leave period will be a part of the tenure of the JRF.
- 5.5 During the first year of Fellowship or any uncompleted year, if approved, casual leave will be granted on a pro-rata basis.
- 5.6 The leave days will not be carried over to the next year.
- 5.7 SCRI has to be consulted before the sanction of leave without stipend. Such leave can be granted only in special circumstances.
- 5.8 If a JRF is proceeding on leave before completion of the tenure of fellowship, must join back before the completion of the tenure, failing so will lead to the termination of the fellowship from the date when the JRF proceeded on leave. Joining back after leave must be reported by the Supervisor to SCRI immediately.
- 5.9 JRF's travel for attending conferences/symposia nationally or internationally, funded by some external agency or non-funded will lead to the leave without stipend.





## 6. PROCEDURE FOR APPLYING FOR THE SCHEME

SIU will notify a number of SIU - JRF available each year, on the website when it announces the vacancies for Ph.D. Candidates eligible as per the SIU Ph.D. rules may apply for the fellowship at the time of Ph.D. application.

## PROCEDURE FOR APPROVAL BY UNIVERSITY

1. The award of SIU - JRFs by the university is decided on the basis of SIU Ph. D. Admission Process
2. A specially constituted selection committee of SIU – the Ph.D. Admission Committee, will scrutinize the applications.
3. Fellowships will be awarded based on a personal interview of the candidate by the Ph.D. Admission Committee.
4. SCRI will send an email communication to the selected candidate regarding the award of the Fellowship.
5. Based on this communication, the candidate will get consent (Ph.D. Rules – **Annexure JRF 1.1** of the Supervisor.
6. Each SIU- JRF, will be attached to one of the constituent units of SIU, usually, the Institute where the Research Supervisor of the student is working.
7. The candidate must submit the Acceptance Letter **Annexure JRF 1.1** duly signed by the Supervisor and the Dean of the Faculty to SCRI conveying their acceptance to the Fellowship.
8. The candidate must fill up the Undertaking **Annexure JRF 1.2**, get it approved by the Research Supervisor and meet the Head of the constituent institute of SIU and show him/her the communication from SCRI regarding the offer of Fellowship, consent letter and acceptance letter for getting their approval on the Undertaking. The candidate must submit the prescribed Undertaking **Annexure JRF 1.2** duly signed by the Supervisor, Head of the Institute and the Dean of the Faculty along with the Acceptance letter to SCRI. Both the documents must be submitted within 15 days of the email communication.
9. SCRI will issue a formal offer letter of fellowship to the candidate after receiving the acceptance letter and the undertaking from the candidate.
10. The candidate and the Supervisor must meet the Director of the constituent unit of SIU, where the Supervisor works, to decide about joining the institute as a Junior Research Fellow of SIU.
11. On completion of the process, the Joining Report of the candidate duly signed by the research Supervisor is to be sent to SCRI through the Head of the Institution.
12. The candidate must get SIU confirmation of their registration for Ph.D., after successful completion of the course work, within a period of one year from the declaration of SIU-Ph.D. Entrance examination result. This period is not extendable.

### (i) PROCEDURE FOR RELEASE OF GRANTS

The Research Fellow has to submit acceptance form **Annexure 1.1** and undertaking **Annexure 1.2** join the institute where their Supervisor is working. On receipt of the Joining Report in the prescribed proforma **Annexure 1.3**, SCRI will accept the candidature of the Fellow and will release the admissible grants to the Institute that the Fellow has joined. The grant will be applicable from the date of joining of the Fellow.



(ii) **PROCEDURE FOR MONITORING THE PROGRESS OF THE SCHEME**

1. The progress of the SIU- Junior Research Fellow is monitored by their respective research Supervisors and reflected in the half-yearly monthly progress reports submitted as per Ph.D. Regulations. Annexure 1.4.
2. Ph.D. Supervisors of JRFs are expected to monitor the progress and quality of their research closely so that good quality research outcome can be achieved by the work of the Fellow. In the duration of two years, the Fellow is expected to publish at least one research paper in a peer-reviewed journal, which is indexed in Scopus.
3. The concerned Head/Director of the institution is expected to facilitate and monitor the terms and conditions of work of the Fellow continuously.

(iii) **TERMS AND CONDITIONS OF WORK OF THE JRF**

The Fellow shall not accept or hold any position, paid or otherwise, or receive emoluments, salary, stipend, etc. from other sources **on working days or holidays** during the tenure of the award.

The Fellow, with the consent of the Supervisor, may assist the Supervisor/ institution/ SCRI in its academic work, including teaching, tutorials, evaluation, laboratory demonstration, supervision of fieldwork, library activities like group seminars and symposia, provided such work is not likely to hinder their research work. The supervisor has to ensure that the progress and quality of research work are not adversely affected by such work.

The total amount of time to be spent on such activities should not normally exceed one hour per day. The candidate shall be present at the institute during the prescribed working hours of the institute; however, he/she may be permitted to spend time on research-related activities, subject to the approval of Supervisor. The candidate shall abide by the rules of the University.

He/ She has to be a full-time researcher and submit himself/herself to the disciplinary regulations of the University/ Institute/ Laboratory where he/she is working. Regular attendance of the fellow may be ensured by the department by keeping an attendance register.

In case a Fellow decides to appear for competitive examination, he/she would invariably seek permission from the Supervisor and inform SCRI about it.

Once a Research Fellow accepts the Fellowship and joins, it is incumbent on him/her to continue the research for the normal tenure of the fellowship or for such lesser duration in which the original objectives of the research problem have been achieved. If the Fellow decides to discontinue before the period of two years, the entire amount of the fellowship will be refunded to SIU.

The research Fellow must send a detailed consolidated report of the research work done during the entire period of Fellowship on completion of the tenure of the Fellowship through the Supervisor to SCRI within one month.

During the tenure of the Fellowship, the Fellow shall correspond with SCRI only through the Supervisor with the approval of the Dean of the Faculty of SIU.



The Fellow shall keep SCRI informed submission/acceptance/publication of any research paper arising out of the research work done during the tenure of the fellowship. She/he must acknowledge the support of SIU in the publication(s). One copy each of all the research papers published must be sent to SCRI at each stage of publication/ manuscript/reprint.

The fellowship may be terminated at any time during the tenure and the decision of the RRC will be final and binding. The tenure of the fellowship is initially for two years, extendable to one more year from the date of joining, subject to satisfactory progress and quality of the research or submission of the Ph.D. thesis, whichever is earlier. No extension is permissible beyond the total tenure of three years and the awardee ceases to be a SIU JRF immediately after the expiry of the due date. Any claim/reference to this effect will be illegal and the individual may have to face disciplinary action for such an act.

For extension, the student must apply three months before the date of completion of extension. If delayed, the application for extension will not be considered.

## 11. CANCELLATION OF AWARD

The fellowship is liable to cancellation in case of:

1. misconduct;
2. unsatisfactory progress of research work;
3. failure in any examination related to Ph.D.;
4. errors/misrepresentation found in documents such as mark sheets, certificates submitted to University;
5. The candidate is found ineligible for pursuing Ph.D.

**If the Fellow decides to discontinue before the period of the fellowship, the entire amount of the Fellowship disbursed by that time will have to be refunded to SIU. The responsibility to follow up for refund rests with SCRI.**

## 12. GENERAL

SIU-Ph.D. rules will prevail for all other related purposes including grievance redressed

**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)  
Acceptance for Award of SIU- JUNIOR RESEARCH FELLOW**

- (i) Name of the Candidate:
- (ii) PRN:
- (iii) Subject and Faculty:
- (iv) Date of Registration:
- i. Name of the Research Supervisor:
- c) Designation with full contact Details;
- d) Address (official)
- e) Phone number.
- f) Email
- ii. Details of Examination Passed (SIU-Ph.D./UGC/JOINT CSIR-UGC/another equivalent):
- iii. JRF Fellowship already availed if any: (either in any other Institution/Project/M. Phil. etc.)

Place:

Date:

Signature of the Candidate

Signature of the Supervisor

Name:

Designation:

Dean of the Faculty





**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)  
UNDERTAKING BY SIU-RESEARCH FELLOW  
(To be submitted to SCRI)**

I, \_\_\_\_\_ son/ daughter/ spouse of Mr.  
/Ms. \_\_\_\_\_ SCRI ID \_\_\_\_\_ pursuing Ph.D.  
Programme with effect from \_\_\_\_\_ under the supervision of Dr. \_\_\_\_\_  
\_\_\_\_\_ In the faculty of \_\_\_\_\_ have been awarded  
the SIU – JRF.

I accept the award and undertake that:

1. During the entire tenure of the fellowship, I shall abide by the rules and regulations of SIU for the award;
2. I shall devote whole of my time for research during the tenure of fellowship and shall put my best effort for achieving high-quality research outcome;
3. I shall not accept or hold any position, paid or otherwise, or receive emoluments, salary, stipend, etc. from other sources on working days or holidays during the tenure of the award;
4. I shall prepare the reports as per SIU Ph.D. rules and submit to my Supervisor for guidance;
5. The terms and conditions of the offer are acceptable to me;
6. All Intellectual Property including publications, patents, design, copyright and others emerging from my research shall show my affiliation as a Research Fellow with SIU;

I shall abide by **all the prevailing rules** as mentioned in the University Ph.D. rules.

**Date of joining as SIU – JRF:**

**Time:**

**Bank A/C Details:-**

**Date**

**Signature of the SIU – Fellowship Holder**

**PRN:**

**RESEARCH  
SUPERVISOR**

**HEAD OF THE INSTITUTE**

**DEAN OF THE  
FACULTY**

**Name: Designation:**

**Name & Seal**

**(Seal)**

**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**

**JOINING REPORT OF JUNIOR RESEARCH FELLOW**

Name of Awardee:

PRN:

SIU Ph.D. Admission (Copy to be enclosed):

This is to certify that ..... has joined the (Name of Institute)  
.....for undertaking the Ph.D. Programme (year) under the above  
scheme of the University with effect from (Fore Noon /After Noon.)

He/she will be provided with all necessary facilities during their tenure of the award.

**Signature of Awardee**

**Director**

**(Seal of Institution)**

*Mh*





**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**  
**PROGRESS REPORT FOR THE PERIOD**  
**(From..... To.....)**

1. Name of SIU - Junior Research Fellow:
2. PRN:
3. Number and date of the award letter
4. Details of Research: The topic of research:
5. The date of registration with the university:
6. Date of commencement of research:

**PART A (WORK REPORT)**

1. A total number of working days during the period:
2. A number of days the Fellow remained on leave (with dates):
  - With fellowship number of days:  
From..... to .....
  - Without fellowship number of days:  
From..... to .....
3. A number of days the Fellow remained out of station for fieldwork travel with dates and place visited:
  - (a) No. of days..... from..... to .....
  - (b) Places visited.....
4. A number of days the fellow remained present at the university/college:
5. Teaching work was done during the period under report:
  - a. A number of hours of lectures taken per week at UG level:
  - b. Number of hours of lectures taken per week at PG level:

**PART B (RESEARCH)**

1. Details of publications during the period under report: Title of the article/paper (Please enclose reprint of each):
2. Title of a monograph written during the period under report:
3. A detailed account of the work done during the period (a separate sheet may be attached for the purpose):
4. Comments of the supervisor on the progress of the research work during the period under report:

**Signature of Awardee**

**Research Supervisor**

**Director**

*AK*



**SYMBIOSIS INTERNATIONAL (DEEMED UNIVERSITY)**

**FORM FOR SUBMITTING ACCOUNTS OF CONTINGENCY GRANTS AND  
UTILISATION CERTIFICATE**

1. Name of Awardee:
2. PRN:
3. Name of the scheme under which she is working:
4. Period for which the account of contingency grant relates:
5. Expenditure from..... to.....

**Amount**

**Dates**

- a. Books & allied items:
- b. Data processing work etc.:
- c. Stationery, Postage, Communication, etc.
- d. Travel/field work etc.:
- e. Miscellaneous:

6. The period for which the contingency grant is payable:

Certified that the expenditure of Rs..... (Rupees.....  
.....out of the contingency grant of  
Rs..... sanctioned vide University letter No.....-dated in respect  
Of. has been utilized for the purpose for which it was sanctioned in accordance with the  
terms and conditions laid down by the University.

**If, as a result of check or audit objection, some irregularity is noticed at a later stage,  
action will be taken to refund, adjust or regularize the amount under objection.**

**Signature of Awardee      Research Supervisor**

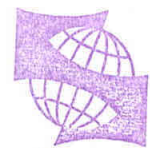
**Director**

**Name:**

**(Seal of Institution)**

**Designation:**

*NSL*



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SIU